

The Viability of Open Access E-theses repositories in Academic Institutions

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Declaration and Statements

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Thesis abstract

This thesis explores the factors and interactions that affect the process of adopting open-access e-these repositories in academic institutions. As stated in the literature review, the adoption of e-theses at academic institutions has been investigated by a number of researchers; however, the interactions among those involved in managing and developing open-access repositories have not been explored in depth. Therefore, this research elucidates not only the importance of understanding how these activities take place based on institutional procedures but how they are shaped within the different social worlds of institutional environments. This is the first study about open-access e-theses to apply the social worlds concept in combination with the UTAUT model and both qualitative and quantitative methods to develop a new scenario for open-access e-theses adoption at academic institutions.

A mixed methods research design was adopted which facilitated the purposeful selection of participants for interviews. Although both quantitative and qualitative methods were used for data collection and analysis, the emphasis of this research is qualitative. 221 participants in online survey from different disciplines across nine universities within the UK and Kuwait and followed by semi-structured in-depth interviews with 43 participants focusing on participants' opinions and perceptions.

The study proposes a model of a two-level interactive views of open access e-theses adoption and development that reflects the process and the relationships. The resulting model helps explain the nature of relations and action across a range of people and things as a result of different commitments of social worlds to institutional activities.

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Abbreviations

DOIM	Diffusion of innovation model
E-theses	Electronic Theses
ETD	Electronic Theses and Dissertations
E-government	Electronic government
EThOS	Electronic theses online service
E-document	Electronic document
FAIR	Focus on Access to Institutional Resources
HESA	The Higher Education Statistics Agency
HTML	HyperText Markup Language
HEFCE	The Higher Education Funding Councils of the UK
HBCUs	Historically Black Colleges and Universities

HEIs	Higher education institutions
ICSU	The International Council of Scientific Unions
ICT	Information and communication technology
IS	information systems
IT	Information technology
IPR	intellectual property rights
IR	Institutional repository
JISC	The Joint Information Systems Committee
KU	Kuwait University
LIS	library and information sciences
MIT	Massachusetts Institute of Technology
NDLTD	The Networked Digital Library of Theses and Dissertations
OA	Open access
OCLC	Online Computer Library Centre
PAAET	Public Authority for Applied Education and Training
PC	Personal computer
PDF	Portable Document Format
PhD	Doctor of Philosophy
RAE	Research Assessment Exercise
RCUK	Research Councils UK
REF	Research excellence framework
ROAR	Registry of Open Access Repositories
SGMI	Standard Generalized Markup Language
SPSS	Statistical Package for the Social Sciences
SPARC	The Scholarly Publishing & Academic Resources Coalition
SW	Social Worlds
TAM	Technology acceptance model
TRA	Theory of reasoned action
TPB	Theory of planned behavior
UCL	University College London
UK	United Kingdom
UMI	University Microfilms International
UNESCO	The United Nations Educational, Scientific and Cultural Organization
UNISIST	United Nations International Scientific Information System
URL	Uniform Resource Locator

US	United States
USA	United States of America
UTAUT	Unified theory of acceptance and use of technology
VT	Virginia Tech
XML	Extensible Markup Language

Chapter 1: Introduction

1.1 Background

Academic libraries and information centres have been greatly impacted by new technologies in the digital age, such as the Internet and digital libraries. Technology continues to play a critical role in creating new possibilities for people. Individuals are now able to work at any position anytime and anywhere.

The Internet has affected many aspects of our lives and has transformed many arenas since its public adoption. The greatest impact is on how people communicate with each other to exchange knowledge and ideas. Therefore, libraries have adopted new methods to keep up with technology developments that can help solve issues facing libraries in both community and scholarly environments, particularly the issue of access to library information resources and services, which can now be accessed via the Internet.

Libraries have also rapidly transformed as a result of changes in the information-seeking behaviour of users with the development of databases and websites. For example, Google Scholar is a relatively new electronic information service used extensively by researchers. A study by Mulligan and Mabe (2011) shows that researchers have become more cooperative, and there are now more potential opportunities for project partnerships with the increasing use of the Internet.

Academic libraries carry out many tasks and activities in refining their role of meeting users' needs and expectations. This includes the creation of academic institutional repositories (IRs) to allow users to access information online without the need to visit libraries, which saves users time and money. The research (e.g. Brown & Swan, 2007) has shown that how people search for information has changed noticeably in the last several decades. Most researchers now search online sites and e-journals for research publications via their library's website, whereas previously they were required to visit the library in person to search for and access information.

1.2 Technology influences

The influence of technology has been investigated by various researchers in the information technology (IT) field. Muqueem and Ambedkar (2007) state that the advent of web technology and the rapid growth of technology in relation to information retrieval have greatly affected library services and have brought about new forms of scholarly communication by converting resources and services to a digital format. According to Foster et al. (2010), “the digital revolution has both opened up new opportunities for individuals to create, seek and share information, and for organizations to manage the life of information” (p. 280).

Investments in technology and research could potentially help communities to face new challenges and to create new opportunities, especially in developing countries with fewer resources. For example, Kuwait’s economy relies on oil reserves and revenues, and the country should conceive strategies to deal with challenges/crises by developing research knowledge (Encyclopedia of the Nations, 2015). Therefore, new trends, such as open-access electronic theses and dissertations (ETDs) and knowledge sharing, could become important for developing countries in terms of industrial and economic growth and enhancing their academic reputations.

Academic libraries are attempting to enhance their services by adopting advanced practices and technologies, such as digitizing books with the help of large companies such as Microsoft and Google (Kuwait University Library, 2010). In this modern information age, “If we don’t try to create an infrastructure which is technically and electronically available to everyone, we will have missed an important opportunity to change our society” (British Law to Preserve Electronic Publication, 2003, p. 3). Mulligan and Mabe (2011) point out that collaboration among scholars and researchers has expanded due to the increased use of the Internet.

1.3 E-theses and dissertations: background

Included in general discussions about developments in this area is the topic of theses and dissertations. Technological advancements in the 1970s enabled students to render their theses on electric typewriters, and with the rapid development of the digital world in the 1980s, a new format quickly replaced carbon copies (Yiotis, 2008). Reeves, Hagen, and Jewell (2006) state

that e-theses and dissertations emerged after the advancement of e-publishing on the Internet, supported by advanced systems and programmes. According to The UNESCO Guide to Electronic Theses and Dissertations, an e-thesis “is a document that explains the research or scholarship of a researcher/student. It is expressed in a form simultaneously suitable for machine archives and worldwide retrieval” (UNESCO, 2002 in Vijayakumar & Murthy, 2001, p. 4). Schopfel and Farace (2010, p. 42) state that an e-thesis or dissertation is “a thesis or dissertation that is archived and circulated electronically rather than archived and circulated in print”.

The concept of ETDs dates back to a 1987 meeting between University Microfilms International (UMI), Virginia Tech (VT), the University of Michigan and the commercial vendors ArborText and SoftQuad. The aim was to discuss things related to e-publishing on the Internet, software and computer languages, such as the Standard Generalized Mark-up Language (SGML), including how they might relate to doctoral dissertations (Fox, Yang, & Kim, 2006). A proposal to build a national digital library of theses and dissertations was made, and the issues outlined in that proposal concerned the methods and practices used to access and preserve theses and dissertations in the US that would influence future developments (Fox et al., 1999). Established in 1997, UMI’s ProQuest digital dissertation programme is a result of that meeting. In 1996, VT started to accumulate ETDs in their system and required students to submit an e-copy of their thesis or dissertation (Kushkowski, 2005; Fox et al., 1999).

Following this, a number of academic institutions introduced open-access e-theses programmes; the idea spread worldwide with the development of open-access movements and the increase in open-access publishing support in the late 1990s. The most remarkable example of the distribution of open-access e-theses worldwide is the Networked Digital Library of Theses and Dissertations (NDLTD), which was created in 1996. The project gained the attention of various organizations, such as the United Nations Educational, Scientific and Cultural Organization, which were encouraged to support the idea of open access (Goodfellow, 2009).

1.4 Open-access e-theses concerns

Despite the significance of and support for open-access e-theses in academic institutions and other scholarly environments, researchers and practitioners have a number of concerns regarding open-access processes and policies. Several studies (e.g. Kingsley, 2008; Stanton & Liew, 2011; Pickton & McKnight, 2006) have been conducted on how differences among individuals or organizations affect the adoption of such technology.

In response to the impact of technology and increased information needs, this research investigates the perceptions regarding open-access e-theses in academic institutions by exploring how researchers, academics and administrators perceive and adopt open-access e-theses. It also explores tensions that occur when trying to implement an effective framework for open-access e-theses at academic institutions. In particular, it explores how disciplines or groups affect the intention to adopt this technology. Framing such issues will help in understanding the adoption of open-access e-theses, which will help in developing a framework for analysis.

1.5 Research rationale

Publishing and communication among scholars and academic institutions play a vital role in research. Most academic institutions—and, more specifically, academic libraries—have transitioned to a digital environment. This has influenced the methods of information seeking and communication amongst scholars and organizations. In addition, the Internet and web technologies significantly affect scholars' communication and activities and academic institutions. This impact may cause some issues at the individual and institutional levels that could influence the adoption of any technology.

E-theses emerged after the development of e-publishing via the Internet (Reeves, Hagen, & Jewell, 2006); however, the open-access movement and its implications have affected the ways of managing e-theses, particularly on the institutional side. Several research studies have indicated that academics and scholars are struggling with this change (Foster & Gibbons, 2005; Cheverie et al., 2009; Pickton & McKnight, 2006). Therefore, there is a need to investigate how this change has affected individuals and academic institutions. To that end, this study

looks at academic institutions in the United Kingdom and Kuwait to develop a framework for open-access e-theses in academic institutions. The background and history of higher education institutions (HEIs) in Kuwait is given in Appendix 6 The reasons for selecting the particular sites are discussed in the chapter on methodology (Chapter 3).

1.6 Research aim

The research aim is to identify the factors and interactions that affect the adoption of open-access e-theses repositories by research institutions.

1.7 Objectives

- To identify existing frameworks seeking to explain organizational interactions that affect organizational behaviour that may inform an investigation of factors affecting e-theses adoption.
- To compare stakeholder views within academic institutions with relatively well-established e-theses implementations and those of institutions at an earlier stage of adopting e-theses.
- To examine how the factors identified within existing frameworks apply to the adoption of e-theses.
- Informed by empirical study work towards an extension of existing frameworks to fully portray new technological adoption scenarios.

Chapter 2: Literature review

This review explores the use and implementation of open-access e-theses repositories and the impact of such repositories on different disciplines and institutions. A number of research studies have been conducted over the past two decades on the adoption of e-theses repositories. In recent years, more attention has been paid to the role of repositories and their contents in research activities and communication. Few studies have focused on how disciplinary differences can shape these tensions. This study attempts to contribute to the existing literature by identifying and clarifying the contextual factors affecting e-theses adoption and implementation in two different countries, the UK and Kuwait.

2.1 Open-access e-theses and disciplines

Each academic discipline has a specific culture based on working style and activities that impact its attitude toward technology and innovation adoption. Pinfield (2003) suggests that for self-archiving to become a norm, cultural change is required. Cheverie et al. (2009) note the “entrenched culture of professional prejudice against digital scholarship” (p. 220).

Many models relating to the acceptance of technology have been developed in the Western world, mostly in the US and the UK. In addition, several studies of the attitudes and perceptions of individuals in different disciplines regarding existing IRs have been conducted. Kingsley (2008, p. 204) conducted an empirical study involving 43 in-depth interviews of academic staff from three disciplines (chemistry, sociology and computer science) regarding the introduction and acceptance of IRs and the impact of information-seeking behaviour at two universities in Australia. The study revealed that academics in scientific areas perceive open-access publishing in IRs to be a normal part of the development of scholarly communication. Regarding differences among subjects, the concept of “keeping up with the literature” has been more important in chemistry and physics than in sociology, for example. The study concluded that the promotion of repositories aimed at a university academic population as a single unit is unlikely to be successful. Rather, it might be worth considering the behaviour and social norms of each discipline when promoting open-access publishing in IRs.

2.1.1 Publishing consequences

According to Cheverie et al. (2009), academics in the humanities are concerned about the impact of open-access publications at different levels. For example, humanities groups have concerns about using open-access programmes for publishing or archiving due to work implications and the nature of their subject with regard to the publishing process and the time required. Pickton and McKnight (2006, p.217) conducted a study at Loughborough University on the attitudes of graduate students towards the mandatory submission of open-access e-theses and found that science students were more eager to comply than humanities students. The study used face-to-face interviews with 34 research students to explore students' views on open-access publishing and to determine if any differences exist among disciplines regarding attitudes. The study also reported the significant role of people such as student supervisors as a factor influencing attitudes. The rapid dissemination of research results via open-access e-theses repositories fascinates and lauded by those in the sciences because they consider this issue to be very important.

A survey conducted by Ramirez et al. (2013), which investigated the attitudes of social science, arts and humanities journal editors and academic universities press directors towards open access e-theses, reported that 82.8% of journal editors and 53.7% of university press directors were always welcome and agreeable for submission or were considered on case-by-case basis. The majority of both groups (72%) reported that manuscripts as revisions of open access e-theses were always welcome for submission or were acceptable on a case-by-case basis (27%), and only 4.5% of participants said that they would never consider an e-thesis for publication.

The previous study used data from Thomson Reuters' journal performance indicators (JPI) for 2005-2009' for conciseness which are typically used in academia to understand journal impact and performance within a discipline over a period of time. The survey specifically focused on references to the social sciences, arts and humanities in top journals in these domains, applying the relative impact factor (RIF) to measure the importance of a journal within its field.

The survey was carried out between May and June 2011. The survey was conducted using Survey Monkey, and 128 responses were received out of 746 eligible journals and university press organizations (17% response rate). More specifically, there were 75 responses out of 615 (12% response rate) from journal editors in the social sciences and arts and humanities and 53 responses out of 131 (40% response rate) from university press directors.

There is a commonly held belief or expectation that a thesis or dissertation needs to be revised prior to submission to a journal or university press to fit and follow the publishing guidelines. However, the respondents cited quality as the main concern when deciding whether to publish e-theses. In addition, two remarkable patterns emerged from the data. First, the respondents highlighted ethical concerns, such as self-plagiarism, and concerns involving issues of the “integrity of the peer-reviews process, such as revealing author information that is typically suppressed in the blind or double-blind peer-review processes”. Second, the respondents noted that library collection policies influence university presses’ policies on ETDs.

Becher (1994) states that scientific articles are the most significant vehicles for chemists to disseminate their findings, as they typically publish a few short papers every year. However, Kingsley (2008, p. 204) states there is a misperception among chemists regarding repository functionality. Different levels of awareness and different attitudes among disciplines and colleges regarding the advantages and risks of open-access e-theses and repositories have also been pointed out in the literature (e.g. Pickton & McKnight, 2006). Academics in the humanities are more concerned about the impact of open-access e-theses repositories. For instance, they worry that using repositories and other open-access programmes for publishing or archiving may have practical impact on their future work (Cheverie et al., 2009; Jotkandt & Hall, 2007; Palmer et al., 2008). Cheverie et al. (2009) noted the “entrenched culture of professional prejudice against digital scholarship”.

Stanton and Liew (2011) conducted an exploratory mixed-method study to explore doctoral students’ perceptions of the policy of mandatory deposit of e-theses at Massey University in New Zealand. They found the study participants from Massey University College of Humanities and Social Sciences were the least frequent users of the repository compared to students from other disciplines. In addition, the perceptions of humanities and social sciences students were less positive than those of students in other disciplines; about 40% had never used repositories to find research. The level of awareness of the university repository remains an issue and requires further investigation of the effectiveness of different communication channels for promotion (Stanton & Liew, 2011).

Stanton and Liew (2011) reported on the relationship among the diffusion of innovations model (DOIM) attributes. However, they criticized the use of DOIM in the analysis stage, as a majority of codes do not easily fit it, and few themes have emerged.

Peoples' perceptions can affect their behaviour, such as their norms and information-sharing processes. Stanton and Liew (2011) state that an institution must consider its academic staff members' and supervisors' perceptions regarding the implementation of an open-access e-theses repository, as they found this to be very important. Identity aspects are also linked to social norms, which must be considered in meeting an institution's aims. That is, individuals must adapt to the institutional values and norms to avoid any barriers that could affect the culture of the organization (Lopez et al., 2004, p. 101).

2.1.2 Implications of open-access e-theses repositories for disciplines

In the opinion of Cheverie et al. (2009), some academics in the humanities are concerned about the impact of open-access publications in repositories. However, Fox (2001) states that little evidence exists that open-access e-theses will influence future published work opportunities. As mentioned, Ramirez et. Al, (2013), reported that 82.8% of journal editors and 53.7% of university press directors were always welcome and agreeable for submission or were considered on case-by-case basis. Other disciplines, such as the sciences, accept the concepts of IRs and open-access e-theses as a normal part of the scholarly communication process (Kingsley, 2008, p. 204).

As mentioned, Becher (1994) states that scientific articles are the most significant vehicles for chemists to disseminate their findings, as they typically publish a few short papers every year. However, Kingsley (2008, p. 204) notes that misperceptions exist among chemists in terms of repository functionality; "that items in a repository would not be found by other people". The following table shows the perceptions of some of the disciplines.

Discipline	Perception
Computer science	Supports the idea with some misconceptions regarding intellectual property issues (Kingsley, 2008; Stanton & Liew, 2011)
Sociology	Intellectual property (copyright and plagiarism) concerns (Kingsley, 2008; Pickton & McKnight, 2006; Ware, 2004)
Chemistry	Some misconceptions about IR functionality (Kingsley, 2008; Stanton & Liew, 2011)

Physics	Up-to-date information Supportive but concerned about the impact of publication (Fox et al., 2002; Swan & Brown, 2005)
History	Impact of future work, less enthusiastic (Cheverie et al. 2009; Orbach, 1991; Pickton & McKnight, 2006)

Table 1: Perceptions of various disciplines regarding e-theses repositories, adopted from the literature.

An institution's formal policy on depositing e-theses in repositories plays a key role in all these concerns. The impact of open-access e-theses on future research work and publication is one of the top concerns of students and their institutions regarding the adoption of e-theses. Horwood et al. (2004) note the concern that publishers might not publish a work that is already available online via IRs.

A survey by Barnes et al. (2012) about the impact of open-access doctoral theses on future publication in the UK revealed that 55% of HEIs expressed concern about this issue. The study found that students are the most likely to express concern about publication. Another survey in the UK revealed that the biggest concern of students who did not deposit items in the IR was that they would not be published in the future (Gadd et al., 2003). Therefore, faculty advisors encourage their students to restrict access to their work (McMillan, 2005). Barnes et al. (2012, p.24) state that "some 33 responding HEIs indicated that an embargo is the most popular mitigating action, and a further 12 respondents [indicated] other forms of access restriction may be applied, such as invoking a takedown policy, allowing "opt-out" from open access, or publishing metadata and abstract only".

2.1.3 Views on the value and nature of e-theses and dissertations

Theses and dissertations contain extremely valuable information because they report the results of first-hand research. However, they are considered "grey literature" because of their physical inaccessibility. They are also considered secondary sources that include information and data not found in other sources and that further non-business aims of academic institutions. However, there is debate surrounding such grey literature, particularly regarding whether the review system is a peer-review one (Seymour, 2010).

Sondergaard, Andersen, and Hjørland (2003) included grey literature repositories and databases in their revised UNISIST model of scientific and technical communication, which is seen as formal unpublished work. The UNISIST model has been well studied as it can be used to define the role of digital aspects and the Internet in the process of communication and to identify sources (Hurd, 2000). With the increasing pace of e-services and the new communication technologies that have emerged, there is a need for more investigation across disciplines to better understand how scholars use modern research communication tools and the impact of tools such as open-access e-theses repositories on scholarly communication. The original UNISIST model was proposed in 1971, the result of four years of cooperation between the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the International Council of Scientific Unions (ICSU) (Hjørland et al., 2005, p. 5). It was one of the earliest models in the area of scholarly communication to describe the process of scholarly communication in traditional channels. The 2003 revised model includes preprint databases as distributors of grey literature (Sondergaard et al., 2003). Because of the advances in electronic communication, there is a need to consider revising the old UNISIST model to include these aspects and to emphasise other disciplines, such as the humanities and social sciences, and not only scientific and technological communication (Hjørland et al., 2005, p. 5). The UNISIST model has been refined several times to reflect the changes in scholarly communication practices. The model identifies two formal ways of communication. The first is published documents that include books and journals, which begin with the knowledge creator and involve publishers and editors and which can reach users via abstracting and indexing services and libraries. The second is unpublished documents, including theses and dissertations, government agency reports and technical reports, which can reach users via information centres or clearinghouses. Sondergaard et al. (2003, p. 282) state that “Ph.D. dissertations, published on demand at the University Microfilm International (UMI) and indexed in Dissertation Abstracts International, are another example of semipublications”.

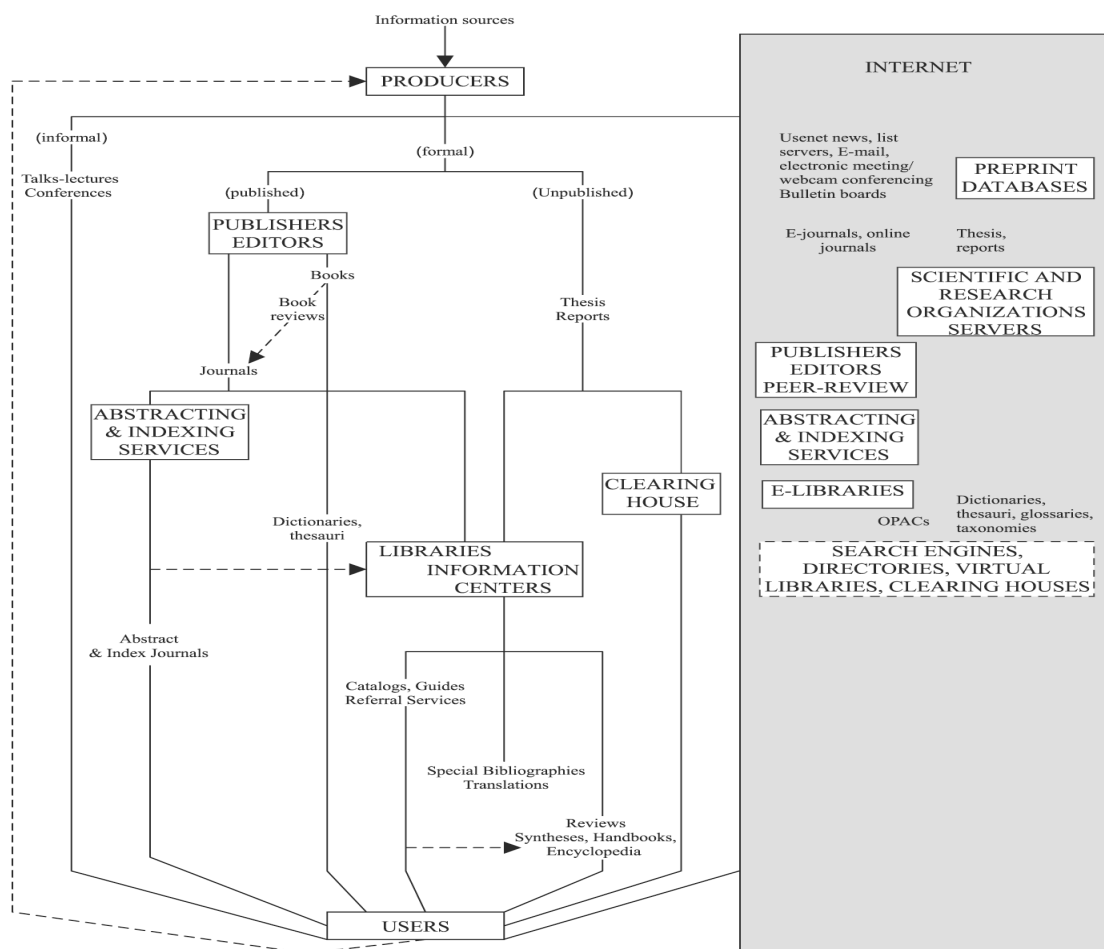


Figure 1: Revised UNISIST model by Sondergaard et al. (2003)

Edminster and Moxley (2002) describe the special nature of dissertations as a genre:

The dissertation is a text within the activity system of graduate education in academe. As a genre, it connects certain intentions and effects within that activity system...The potential electronic theses and dissertations have to transform graduate education in ways that benefit both students and the scholarly community depends upon it.

These points reflect the value of e-theses in the scholarly environment, as illustrated in the study by Jones and Andrew (2005). They reduce costs and delays for authors and readers by changing the means of communication used by the scholarly community, resulting in a radical economic shift and reengineering of the publication process (Fox & Urs, 2002; Harnad, 2001, 2000; Kaplan & Nelson, 2000; McMillan, 1999).

According to Canessa and Zennaro (2008), “There’s no question, Open Access truly expands shared knowledge across scientific fields [and] it is the best path for accelerating multi-disciplinary breakthroughs in research” (p.17). They also state that:

There is widespread acknowledgment that the current model for scientific publishing is failing us. An increase in the volume of research output, rising prices and static library budgets mean that libraries are struggling to purchase subscriptions to all the scientific journals needed. Open Access, however, will not mean the end of medical and scientific journals at all. They will continue to exercise peer-review over submitted papers as the basis for deciding which papers to accept for publication, just as they do now (p. 18).

2.2 Scholarly communication

Thorin (2003, p.1) states that scholarly communication “also includes the processes by which scholars communicate with one another as they create new knowledge and by which they measure its worth with colleagues prior to making a formal article available to the broader community”. The idea of scholarly communication is more than simply sharing concepts, knowledge or work. Other components are also involved, such as evaluating quality (the impact) and preservation. The Higher Education Funding Councils of the UK (HEFCE, 1999), define scholarship in the Research Assessment Exercise (RAE) as “the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases”.

The Association of College and Research Libraries (2009) defines scholarly communication as “the system through which research and other scholarly writings are created, evaluated for quality, disseminated to the scholarly community, and preserved for future use”. Thorin (2003, p. 1) identifies three distinct scholarly communication processes:

- 1) The process of conducting research, developing ideas and communicating informally with other scholars and scientists
- 2) The process of preparing, shaping and communicating to a group of colleagues what will become formal research results
- 3) The process of distributing the ultimate formal product to libraries and other institutions in a print or e-format.

However, Ayris (2006) notes that most scholarly communication definitions concentrate only on publishers, authors, readers and librarians. Therefore, he extended the definition to include “the authoring, publishing, dissemination, and reading of information produced for teaching, learning or research in whatever format, with the tools, measures and systems needed to provide access to and store these materials in perpetuity”.

The fact is that writing and publishing academic works is one of the major tasks carried out by academics. Academic communication can be defined as the open interchange of knowledge worldwide. Scholars undertake research publications for several reasons, such as to share and promote their ideas and concepts, to earn grants and to improve their institution’s ranking. Researchers and scholars aim to develop their academic reputation by consistently publishing high-quality work. Moreover, the publication of researchers’ academic work provides other researchers the opportunity to review that work and to interact and communicate with other scholars interested in related subjects (Besimoglu, 2007; Hunter, 1998).

Open-access e-theses and repositories are new forms of publishing models that could play a significant role in this case by allowing academic institutions and their users to access scholarly publications without paying any fees. They enhance scholarly communication by decreasing or removing publishing expenses. In recent years, the increase in journal prices has resulted in what has been defined as a scholarly or serial crisis (Thorin, 2003; Oren, 2008; Houghton & Vickery, 2005). Cole (2004, np) states that “Institutional libraries are increasingly unable to fund journal title subscriptions, limiting the dissemination of academic research” (p. 83). New methods of scholarly sharing and research communication, such as open-access e-theses and repositories, can be used to manage scholarly communication and publication problems. Less time is required for publication, and up-to-date information can be made available faster compared to the publication process of peer-reviewed journals (Fox & Urs, 2002).

2.2.1 The implications of open-access e-theses in scholarly communication

Researchers communicate and disseminate their work to promote their research and gain recognition in their field. Peer-reviewed journals are considered the most appropriate choice for publication and communication with regard to recognition and gaining authorization for scholarly contributions to the body of knowledge (Banks, 2006), numerous research (Stanton & Liew, 2011; Pickton & McKnight, 2006; Cheverie et al., 2009; Hjørland, 2002). However, argue that different disciplines and fields are dissimilar in their scholarly communication practices.

From a social worlds perspective (Strauss, 1982), individuals are not separate but rely on structures, and their attitudes develop within a number of social settings. Hjørland (2002, p. 258) states that,

Tools, concepts, meaning, information structures, information needs, and relevance criteria are shaped in discourse communities, for example, in scientific disciplines, which are parts of society's division of labor. A discourse community being a community in which an ordered and bounded communication process takes place. This communication is structured by a conceptual structure, by institutional enclosure, and by governance of discourse fora.

Some studies, such as those by Stanton and Liew (2011) and Mulligan and Mabe (2011), have found there is an attitude conflict that occurs when an individual is struggling with two thoughts. It has been found that almost all academic researchers in the different disciplines want to have access to other scholars' primary data but are not so likely to share their own.

Scholars today conduct research in a different way than in previous years due to the development of communication tools and programmes (Pinfield, 2011). In addition, collaboration has become an essential part of research. Research is strongest when it is a product of collaboration among a network of people who communicate and share their contributions via technology, such as repositories, blogs and online discussion forums (Fang Hu & Hangsheng Jiang, 2014). However, the preference for peer-reviewed journal publication is dominant among researchers, as most believe scientific information that is not peer reviewed cannot be taken seriously (Thorin, 2003).

Becher (1989, p.77) states that communication processes or patterns describe the features of the subject area and the relevant research community, as well as the method of research dissemination. Becher mentions the differences between subjects, particularly the reliance on particular sources of journals articles as the most important means of dissemination. For example, in subjects such as history academics depend more on scholarly monographs. In contrast, in subjects such as physics, there is greater emphasis on conference papers and a pre-print culture as an informal communication method (Becher, 1989, p. 81; Kingsley, 2008, p. 210).

Open-access e-theses and repositories could change scholarly communication and knowledge production as methods of disseminating early scholarly information. Although some graduate students may publish in peer-reviewed publications before completing their theses, for many graduate students and PhD candidates the publication of theses and dissertations is deemed the first formal recognition of their work. The special characteristics of theses and dissertations, particularly PhD theses, include originality, individuality and rigor. These characteristics differentiate theses and dissertations from other publications. However, their existence is often unknown, and they are not easily accessible, particularly if they are unpublished.

Hjørland (2002) also discusses the importance of studying the differences between disciplines and “comparing differences between various knowledge domains and their communication structures with regard to, for instance, information retrieval and knowledge organization”. Communication structures and scholarly communication activities are vital in research and scholarly development. Yliojki (2000) states that:

Disciplines have their own traditions and categories of thought which provide the members of the field with shared concepts of theories, methods, techniques and problems. Besides the common cognitive basis, disciplines have their own social and cultural characteristics: norms, values, modes of interaction, life-style, pedagogical and ethical codes: norms, values, beliefs, modes of interaction, lifestyle, pedagogical and ethical codes (p. 339).

Baruchson-Arbib and Bronstein (2007) identify four obstacles facing scholars of Jewish studies (humanities) in Israel when searching for information and selecting information channels: “(1) cost; (2) distance, when the item can only be found at a distant location; (3) unfriendly

interface; and (4) time that it takes to get hold of a copy of the desired item". They also found there were no influences on the level of difficulty of a particular channel facing the scholar and the selection of that channel (p. 141). Asner and Polani (2008) identify issues, such as the portal of the system, that have a negative effect and cause dissatisfaction among scholarly communities within open-access e-theses systems.

The selection of a particular channel is based on the quality of information presented by that channel. Liu (2006) and Leckie, Pettigrew, and Sylvain (1996) find that user friendliness affects scholars' choice of channel. Therefore, quality is seen as an important aspect that could influence the adoption of an open-access e-theses repository.

Smith, (2003), Bergman, (2006) and West et al. (2014) argue that the development of open-access publishing in general has a crucial impact on scholarly communication and influences scholarly publishing behaviours. However, regarding open-access e-theses repositories, other studies (Stanton & Liew, 2011; Kushkowsky, 2005; Dhanavandan & Tamizhchelvan, 2013; Goodfellow, 2009) find that the level of access to open-access e-theses is limited and that there are issues related to the materials in open-access e-theses repositories, which are considered insignificant. Kushkowsky (2005) investigates the web citation behaviours of authors in print and e-theses and states that web citation behaviours connected to graduate students' theses vary across disciplines and that web citations are poor or lacking in both print and open-access e-theses.

Chen et al. (2009, p.462) state that open-access programmes are more likely to be used by scholars if they are supported and promoted by scholarly systems and the community. Readership and the chances of reaching more people have been found to be increased by open access journals; however, this does not affect the number of scholarly studies cited (Davis & Walters, 2011; Klamer & Van Dalen, 2002).

Greig (2005, p.18) discusses the significant role of senior management or a champion who can make a big difference, take the lead and make the changes required, but issues related to institutional characteristics were not detailed. A representative of the social world who has more social connections can influence people who are less enthused about that system. Therefore, Swain (2010, p.4) states that

the academicians, professors, and institutional administrators are not aware of the utility and growing significance of electronic theses and dissertations, or they are not prepared to

abandon the paper thesis, submission, or the librarians of these institutions lack skill and experience in creation and maintenance of electronic theses and dissertations repositories, or it may be due to lack of adequate ICT infrastructure. It is strongly recommended that the library community consider these issues seriously and try to find overcome the barriers.

2.3 Benefits for the institution

Communication among the scholarly community and the quick access to information are advantages related to the adoption of open-access e-theses. Chan and Kirsop (2005) state that an institution and its staff could gain prestige by providing research outputs and that this results in building bridges and creating opportunities for further collaboration in a wider context, obtaining grants and features for staff members.

Open-access e-theses and IRs provide benefits by capturing intellectual capital, enabling the institution to gain prestige (image), showing the excellent work being done at the institution, increasing the visibility of the impact of research and providing author recognition, thus building the institution's profile.

In recent years, the increase in the number and prices of journals and databases has resulted in what has been defined as a scholarly or serial crisis in academic libraries (Thorin, 2003; Houghton & Vickery, 2005; Oren, 2008). Cole (2004) states that "institutional libraries are increasingly unable to fund journal title subscriptions, limiting the dissemination of academic research" (p. 83). E-theses and IR as new forms of publishing models play a significant role by allowing academic institutions and their users to access scholarly publications without any fees, thus enhancing scholarly communication by decreasing or removing publishing expenses. The implementation of open-access repository projects in scholarly communities and academic libraries could eliminate spending on subscriptions to both print and electronic journals, and authors can ensure that their work will be available to a large group of people.

In their research at Edinburgh University Library from June 2004 to January 2005 relating to the design and implementation of an e-theses service, Jones and Andrew (2005, p.199) illustrated the significant role of open-access e-theses in the scholarly environment and the implications of e-theses in terms of changing the means of communication in the scholarly community. The open access e-theses trend also affects institutions. Bevan (2005) states that one reason academic libraries are moving toward e-theses is that it frees up room for other

purposes, which in turn could result in many advantages. The ability to make research outputs widely accessible is generally a good thing and obliges many academic libraries to adopt open access e-theses.

Ashworth, Mackie, and Nixon (2004, p.259) conducted a study at the University of Glasgow on the Daedalus project, focusing on a programme for accessing institutional resources. JISC funded the project, which ran for three years from 2002 to 2005. According to the researchers, open-access policies provide alternative ways of addressing the challenges facing academic libraries, such as the increased cost of journal subscriptions for both electronic and print publications. The study indicated that libraries can acquire large amounts of space to provide a wide range of technologies, thus enabling high-quality learning.

Another benefit of open-access e-theses repositories is discussed by Skourlas et. al (2016). They studied how to integrate IRs and e-learning management systems to support the accessibility of disabled students and students with learning difficulties (e.g. dyslexia) in higher education. Customized interoperability can facilitate indexing and access to items in repositories.

2.4 Social and cultural settings

Despite the fact that technology has developed research activities, changed the way research is conducted and has become a key aspect of scholarly communication, its successful adoption partly depends on the social context in which the use and transfer of information take place.

The academic institutional environment includes many disciplines and cultures. Academic culture refers to the special characteristics of an academic institution's departments and faculties as well as their actions, interactions and organization of their work (Austin, 1990, p.61). Kuh and Whitt (1988, pp.12–13) define culture as “the collective mutually shaping patterns of norms, values, practices, beliefs, and assumptions that guide the behaviour of individuals and groups”.

The term “discipline culture” emerged as a result of the growth of disciplines within institutional culture and of the groups of specialists belonging to each subject or field (Becher,

1989). Becher created a framework in which he described academic disciplines as tribes occupying different academic territories. The territory of the tribes exists as a social dimension in which there are convergent and divergent disciplines, urban and rural disciplines, hard and soft disciplines and pure and applied disciplines, indicating the fundamental cultural difference between them. Organizational, cognitive and social frameworks can be seen as interacting and at some points interpenetrating, affecting the working lives of academics in different ways (Becher, 1989). Becher concluded that tribes share the same ethnicity and that the territories they occupy are part of the same land mass.

Regarding the perception of open-access resources, JISC (2011) states that open-access materials have not become universal for several reasons, such as cultural change, policy development, technical infrastructure and the sustainability of business models, which are all needed in the transition to open-access publications.

2.5 Consideration of norms and values

Cultural values require more investigation vis-à-vis the implementation of open-access e-theses in academic institutions (Goldsmith, 2002). The cultural dimension is a broad concept and has a large-scale impact on individuals and groups and on issues such as age, professional or job level and gender. Culture includes the beliefs, knowledge, views, characteristics, values and norms of particular groups, academic disciplines or communities that influence the decisions of their members (Hofstede, 2001).

Connelly and Kelloway (2003) studied the knowledge-sharing perceptions of part-time Master of Business Administration (MBA) students at four Canadian universities and found that “women are more sensitive to the social interaction culture” (p. 300). The authors proposed that motivation and personal interest can influence an individual’s willingness to interact and to seek information and knowledge. In addition, efficiency can be a vital element in terms of selecting certain channels for seeking information and therefore can influence the decision to adopt open-access e-theses.

Kingsley (2008, p. 204) states that addressing the university academic population as a single unit to promote IRs is unlikely to be successful. Rather, the information-seeking behaviour and social norms of each discipline must be considered. Earlier studies that investigated

communication, open-access e-theses and information seeking concentrated on the role of peers or colleagues in internal diffusion in the social system (Smith II, 2008). There are two types of social systems, one with a formal structure and one with an informal structure.

The norms of the members of a social system were also included as a factor that could be a barrier to the adoption of open-access e-theses. A policy study by Greig (2005, p.18) about the adoption of e-theses at Glasgow University found that “most university libraries are very enthusiastic about electronic theses, but many that have undertaken work in this area have discovered that thesis supervisors and sometimes university administrators are less keen on the idea”. Greig (2005) also noted that a change in a university’s deposit regulations is sometimes needed to increase the deposit rate, although admittedly, this might be a time-consuming and frustrating process.

In light of the social worlds perspective and social influences, Copeland, Penman, and Milne (2004, p. 13) studied the JISC-sponsored open-access e-theses project led by Robert Gordon University and the JISC-sponsored FAIR programme in the UK. The study discussed policies and practices for developing E-theses. They found that students and their supervisors expressed some concerns about the possible plagiarism of theses and dissertations when they become available online. Although the study mentioned a culture change in relation to intellectual property rights (IPR) at academic institutions, it included only a brief discussion of the role of cultural aspects in the adoption of open-access e-theses. Pickton and McKnight (2006, p. 217) state that students are willing to be encouraged by supervisors to deposit their theses in open-access repositories.

According to McMillan (2005, p. 3), some faculty advisors are concerned that making e-theses available online will be considered prior publication and will therefore lead to difficulties with being publishing in academic journals. A report on an online survey about VT regarding open-access e-theses showed that in 2004, 55% of respondents were advised by faculty to restrict access to their work, which in turn might have affected their attitudes towards and perceptions of e-theses adoption. The role of universities and their departments, including postgraduate departments and libraries, in explaining these matters to their students and in preparing them is crucial. Kelly (2007, p. 146) states that “the most important aspect of an institutional repository is not the software used, rather, it is the commitment to open access and developing a culture at your campus to encourage and facilitate self-archiving”.

Bevan (2005) states that graduate students and their supervisors still fear that students' work could be plagiarized. As a result, they tend to restrict access to their full-text open-access e-theses because their supervisors discourage them from submitting their theses online. A survey on students' attitudes towards e-theses projects found that faculty advisors are more likely to advise graduate students to restrict access to their dissertations and theses (McMillan, 2005). Some e-theses repositories give students an embargo period of six months to three years if the students ask for it. In such cases, the students provide only abstracts and metadata for their theses (Bevilacqua, 2007). Some studies, such as that by Bevan (2005), state that in using an electronic format for theses and dissertations, one is more likely to encounter plagiarism (p.110).

2.6 Trust

This section explores the subject of trust as an important theme that emerged from the interviews in phase two and that has implications for the adoption of open-access e-theses in academic institutions. It starts with an overview of trust definitions and then discusses the types of trust at individual and institutional levels. In the last section of this chapter, trust in academic institutions and the implications of trust in relation to the adoption of open-access e-theses is discussed.

2.6.1 Overview

Strong social interaction between members of a group is considered a key and crucial element for the successful fulfilment of tasks. However, this type of interaction is unlikely to develop based on formal institutional regulations. The existence of a trust environment and of confidence are essential in interactions and relationships with others. Pahl (2000, p. 63) discusses the role of trust in interpersonal relationships, stating that "the inevitable uncertainties of interpersonal interactions have to be overcome through trust".

Trust also impacts the outputs of team work and therefore affects the accomplishment of an institution's planned objectives. Trust is "one party's willingness to be vulnerable to another party based on the belief that the latter party is competent, open, concerned and reliable" (Mishra, 1996, p. 265).

Lewis and Weigert (1984) define trust as the “undertaking of a risky course of action on the confident expectation that all persons involved in the action will act competently and dutifully” (p. 971). The Oxford English Dictionary defines trust as “firm belief in the reliability, truth, or ability of someone or something”. It is an entirely personal, subjective judgement one makes about someone one has regular dealings with.

Pantelli (2005) states that “The dimension of trust, as a significant structural and socio-psychological category of a traditional work forms, is also a key to social relations within the network society”. According to Luhmann (1979), “Trust occurs within a framework of interaction which is influenced by both personality and social system, and cannot be exclusively associated with either” (p. 6). Moorman, Deshpande, and Zaltman (1993) define trust as “the willingness to rely on the other party”.

Trust is considered a significant aspect that leads to successful work processes related to open-access environments. Many studies have examined the role of trust as a factor that affects the successful application of technology and the use of websites in the online environment (Nielsen et al., 2000; Sisson, 2000; Jarvenpaa et al., 1999). Trust has been much studied in the field of IT. Nielsen et al. (2000) state that the existence of trust is vital in the interaction between a person and a website in order to achieve maximum success. Previous statements regarding what we believe about trust in real life seem sensible, that is, trust is an important social factor that facilitates collaborative behaviour. Corritore et al. (2001) state that the research of many disciplines since the 1950s cover the topic of trust in relationships; it was then that researchers began to study the significance role of trust in personal relationships in depth. During the 1970s and 1980s researchers working on developing the construct of trust continued by conducting studies in the field. Since then, many dimensions of trust have been researched showing the multidimensional nature of trust constructs. For example, Strickland (1958) identifies benevolence as an important element of the trust construct, and Deutsch (1960) states that motives and intentions are important issues. In addition, Sitkin and Roth (1993) identified the congruence. Nicholson et al. (2001) examine the role emotional relationships play in trust and that result in the development of a reciprocal relationship between parties. In the social worlds theory, membership is an important aspect of identity for individuals and groups and has a strong emotional charge. Svensson (2004) gives an overview of the multidimensional construct of trust in various studies, as follows:

Table 1 An overview of the multidimensional construct of trust

The multidimensionality of the trust concept	
Trust dimensions	Source
Ability	e.g. Sitkin and Roth (1993); Cook and Wall (1980); Jones <i>et al.</i> (1975); and Deutsch (1960)
Acceptance	e.g. Bonoma (1976)
Altruism	e.g. Frost <i>et al.</i> (1978)
Benevolence	e.g. Mayer <i>et al.</i> (1995); Solomon (1960); Strickland (1958)
Business sense and judgement	e.g. Gabarro (1978)
Character	e.g. Gabarro (1978)
Competence	e.g. Butler (1991); Butler and Cantrell (1984); Lieberman (1981); Rosen and Jerdee (1977); Kee and Knox (1970)
Confidence	e.g. Dwyer and Lagace (1986); Luhmann (1979); Jones <i>et al.</i> (1975); Kwant (1965)
Congruence	e.g. Sitkin and Roth (1993)
Consistency	e.g. Butler (1991); Butler and Cantrell (1984)
Expertness	e.g. Griffin (1967)
Fairness	e.g. Butler (1991); Hart <i>et al.</i> (1986)
Faith	e.g. Zaltman and Moorman (1988)
Integrity	e.g. Butler (1991); Hart <i>et al.</i> (1986); Butler and Cantrell (1984); Gabarro (1978); Lieberman (1981)
Intentions or motives	e.g. Cook and Wall (1980); Kee and Knox (1970); Griffin (1967); Deutsch (1960)
Liking	e.g. Swan and Trawick (1987); Swan <i>et al.</i> (1985)
Loyalty	e.g. Butler and Cantrell (1984)
Motivation to lie	e.g. Hovland <i>et al.</i> (1953)
Openness of management	e.g. Hart <i>et al.</i> (1986)
Predictability	e.g. Coleman (1990); Dasgupta (1988); Gambetta (1988); Good (1988); Lewis and Weigert (1985); Luhmann (1979); Deutsch (1973); Rotter (1967); Parsons (1964); Deutsch (1958)
Respect	e.g. Jackson (1985)
Security	e.g. Zand (1978)

Table 2: Overview of the multidimensional construct of trust in various studies (Svensson, 2004)

2.6.2 Individual trust

Trust could be varied and has many levels depend on situations and the atmosphere. Corazzini (1977) states that trust is a multidimensional concept. In a study explaining the relationship between Internet use and interpersonal trust, Beaudoin (2008) notes that information exchange is connected to the development of interpersonal trust but social interaction is not.

How people come to trust others, to understand someone's behaviour, we may think it is their choice to act like that or even it is the result of the procedures in the institution which there is no control of them on that. Trust decisions are based on good reasons and available knowledge (McAllister,1995). Zucker (1986) states that reliability and dependability are necessary to develop a trust relationship.

McAllister (1995) talks about two dimensions of trust, cognitive and emotional, and McAllister states that both types occur in interpersonal relationships and can exist at the same time for the same person(s) towards the same thing. In the cognitive type, one looks for a rational reason to

trust another person, and that person hopes the other party will meet the expectation and fulfil his/her role properly. The consistency between the behaviour and the words could be a foundation for cognitive trust. Emotional trust consists of an emotional bond between two parties that is intensive and ties them together. This kind of trust has an affective dimension (McAllister, 1995, p. 26; Lewis & Weigert, 1985). Emotional trust can be best expressed by demonstrating concern and benevolence (McAllister, 1995, p. 30). One's trust in another individual is typically based on their evaluation of other person's ability, integrity and benevolence. The level of trust is likely to increase if these aspects can be seen (Jarvenpaa et al., 1998):

- 1) Ability: this refers to an assessment of the other's knowledge and skills. Trust requires some sense that the other can act in a way that meets our expectations.
- 2) Integrity: this can be judged by ones' commitment to ones' words and actions, when there is no gap between words and actions and the trustee delivers what is promised. This leads to trust based on the consistency of past actions and the credibility of communication (McAllister, 1995, p. 132).
- 3) Benevolence: "is based on the extent to which the partner believes that the other party has intentions and motives beneficial to the partner, aside from a selfish profit motive" (Mayer et al., 1995, p. 718). It is related to one's assessment that the trusted person pays enough attention to the other's feeling and interests or at least does not let them down. "The other's perceived intentions or motives of the trustee are most central. Honest and open communication, delegating decisions, and sharing control indicate evidence of one's intent" (Waugh, 2017, p. 48).

Each aspect influences the level of trust and contributes to the relationship between the two parties. However, the literature shows that ability and integrity are likely to be the most influential early in a relationship and that more time needed for individual benevolence. The impact of benevolence will grow as the relationship develops.

Rempel et al. (1985) state that individual trust is the confidence that one person places in another based on the appreciation, understanding and concern demonstrated in their communication. It can be described as "feelings of security and perceived strength of the

relationship” (Johnson & Grayson, 2005, p. 501). McKnight et al. (1998) define interpersonal trust as “one party’s willingness to depend on the other party with a feeling of relative security even though negative consequences are possible”.

According to Hakansson and Ford (2002), building trust is a social process that takes time and is based on the experiences of the individual. To create trust, interpersonal interaction is important in relationship within good communication and experiences of good celebration (Fritz & Fischer, 2007). Fandy (2000, p. 383) states that “trust, whether one lives in a modern society or a supposedly traditional one, has accompaniments, such as a linguistic environment, a knowledge base, and shared symbols and mutuality”. Thus, for example within the context of Arab region “the main issue in the Arab world is not the diffusion of new information technologies. The main question is one of trust” (p. 394).

Trust on the individual level is based on beliefs about a relationship, for example in terms of the similarity of two parties in values, attitudes, goals and characteristics (Svensson, 2004; Crosby et al., 1990; Morgan, 2000). Trust is a crucial element in developing a relationship (whether business or personal). If there is a low level of trust, then the likelihood of success is greatly decreased.

Several studies (Parks & Hulbert, 1995; Sato, 1988; PEW, 1996) argue that although trust is a significant aspect in public engagement, there are several limitations. Parks and Hulbert (1995) studied the effects of trust on decision makers’ responses to fear in social dilemma situations by comparing individuals’ choices in two different kinds of social dilemma—a resource contribution (public-goods) version of the dilemma and a resource restraint (commons-dilemma) version. The result was that high trustors show more cooperation than low trustors when there is fear. However, when there is no fear the action was the same and both cooperated at the same rate. The impact of fear in both dilemmas was complex. The authors found that when fear was eliminated from the public goods dilemma, cooperation decreased among high trustors and that when fear was eliminated from the resource dilemma cooperation increased among the low trustors. Parks and Hulbert utilized prospect theory to argue that low trustors probably tend to frame zero payoffs in terms of negative reference points (“I didn't gain anything”), whereas high trustors frame comparable outcomes in terms of positive anchors (“I didn't lose anything”) (Kramer, 1999).

In studying trust and group size in a social dilemma, Sato (1988) employed a simulated social dilemma and found that the effects of trust weaken as group size increases. Based on this research, one can see that trust increases a person's willingness to engage in various forms of spontaneous sociability but in complex and often unexpected ways. In assessing the generalizability of this finding, it should be noted that there is also evidence that the efficacy of trust in solving large-scale collective-action dilemmas of this sort may be limited.

Trust involves expectations about another based on calculations that weigh the costs and benefits of certain courses of action on the part of the trustor or the trustee. It is based on a view of humans as rational actors. Rationality is understood in utilitarian terms whereby the individual chooses the course of action likely to gain him or her the maximum utility. Therefore, trust is not only based on a rational foundation but also on a social foundation. This also becomes clear if we focus on trust as a generation process. Trust is formed in social interaction and is influenced by existing codes and institutional rules and in turn can influence these things in the long run.

2.6.3 Institutional trust

Institutional trust is a dynamic relationship between an individual and an institution. Sztopka (1999) states that trust is an essential aspect in these systems of everyday life. Considering the multidimensional nature of trust, an individual may trust his/her colleagues and at the same time may not trust top-level management or supervisors. Trust occurs in both personal and impersonal forms. Impersonal trust here might be called institutional or organizational trust (Atkinson & Butcher, 2003).

Ellonen et al. (2008) state that institutions have to rely on both types of trust and need to find approaches to ensure that one complements the other. Atkinson and Butcher (2003, p. 290) state that institutional trust "is based on roles, systems or reputation, from which inferences are drawn about the trustworthiness of an individual". Trust establishes a sense of security and lets individuals develop emotional and personal links (Grayson, 2005). Two studies examining e-government implementation strategy, one in Scotland (Deakins & Dillon, 2002) and the other in New Zealand (Deakins & Dillon, 2002; Li, 2003), looked at the role of trust in the adoption of e-government services. Deakins and Dillon (2002) found that users' trust of e-government

services is associated with security and privacy assurances provided to them and that traditional services are preferred if something happens and have more control. Trust reduces complexity and insecurity (Eisenhardt, 1989). The level of institutional trust can impact any aspect of a relationship, such as communication, commitment or collaboration. As described in Atkinson and Butcher (2003, p. 282), Fukuyama (1995) defines trust as the “social glue” that can hold diverse institutional structures together. It is tied to formal structures depending on individual or firm-specific attributes, such as certification as an accountant, doctor or engineer (Anu & Tolvanen, 2006, p. 30). Therefore, institutional trust is associated with the global evaluation of an institution’s honesty as seen by its members. In addition, an institution’s environment is always assessed by its members when considering trust in that institution. Several factors have been identified as important in institutional trust, such as the actions and beliefs of managers (Creed & Miles, 1996). Moreover, institution managers drawing reward and control systems that are visible displays of base levels of trust or distrust within the institution.

Institutional justice also impacts members’ trust in the institution. Institutional justice refers “to the degree to which those affected by allocation decisions perceive that those decisions were made according to fair methods and guidelines” (Anu & Tolvanen, 2006, p. 31). Hubbell and Chory-Assad (2005) conducted a study of the relationship between the perception of justice, trust in managers and trust in the institution. They found that procedural justice significantly predicted institutional and managerial trust.

Institutional support is another factor affecting institutional trust. Institutional support refers an institution’s appreciation of its members’ contributions and its concern about their well-being. If an institution treats its members well, its members will treat the institution well in return.

Studies by Appelbaum et al. (2004, p. 13), Shamir and Lapidot (2003, p. 472), Atkinson and Butcher (2003) and Gillespie and Mann (2004, p. 590) have found that institutional trust occurs at three different levels, as follows:

a) Individual level

Trust at the individual level is based on interpersonal interaction and emphasizes integrity, reliability, competence, openness and vulnerability (Appelbaum et al., 2004, p. 13). Here, trust is a positive expectation that an individual will act in a certain way toward the other.

b) Team level

Teams can play an important role in developing trust in institutions. Trust occurs not only at the individual level but is also a collective phenomenon connected to social information processes (Shamir & Lapidot, 2003, p. 466). Shamir and Lapidot state that teams or groups represent collective values and identities (p. 472). It is generally believed that values guide performance, and common values between members help them to expect each other's behaviour. Previous sections have discussed the significant role of shared values and goals in reducing uncertainty; these shared values also help in determining which types of behaviours, situations or people are desirable or undesirable (Gillespie & Mann, 2004, p. 590). According to Kramer (1999) (cited in Anu & Tolvanen, 2006, p. 30):

Teams also have rule-based trust. Rules, both formal and informal, include the knowledge that members have about tacit understandings. Rule-based trust is predominantly shared understandings relating to the system of rules regarding appropriate behaviour. By institutionalizing trust through practices at the collective level, trust becomes internalized at the individual level.

c) System level

At this level, roles and systems form the trust, the person role is the determinant in that situation. The trust is linked to formal structures and relies on personal acts or characteristics such as certification as an accountant, doctor or engineer (Atkinson & Butcher, 2003). Giddens (1990, p. 44) defines these as “systems of technical accomplishment or professional expertise that organize large areas of the material and social environments in which we live today”.

In summary, the concept of institutional trust is connected to work satisfaction and commitment to business relationships (Inoue et al., 2010). These relationships are mutual relationship; for example, employees who trust the company and feel they are treated well are more likely to be engaged in their work (Robinson et al., 2004). Mayer and Gavin (2005) state that when trust in the senior management is high, workers can focus on their work and increase their level of involvement. If they feel they are at risk of losing benefits or profits, they will put less effort into their work (Schneider et al., 2010). According to Ellis and Shockley-Zalabak (2001), trust in top management is more strongly associated with satisfaction and effectiveness than trust in immediate supervisors.

Costigan et al. (1998, p. 309) state that institutional trust is determined based on the efficiency and fairness of the institutional systems. McKnight and Chervany (2002, p. 45) define institutional trust as “an individual’s belief that favourable conditions are in place which are conducive to situational success”. Two components are associated with creating institutional trust—situational normality and structural assurance (Balasubramanian et al., 2003; McKnight & Chervany, 2002). Trust in the institution can develop when both these things exist. Situational normality refers to trustees’ beliefs that “everything seems in proper order” (Lewis & Weigert, 1985, p. 974; McKnight & Chervany, 2002, p. 48). It is defined as “the belief that success is likely because the situation is normal” (Ellonen et al., 2008, p. 162). Structural assurance is defined as the belief that success is determined by contextual conditions such as promises, contracts and regulations (Balasubramanian et al., 2003; McKnight & Chervany, 2002). “Trustees’ beliefs that protective structures in place are conducive to situational success” (McKnight & Chervany, 2002, p. 48; Yap et al., 2010).

Trust among staff members has been identified as a significant factor in information sharing in several cultural contexts, such as in the US in energy supply companies and IT services, in managerial relationships in the UK, in project teams in China, in Internet banking in Malaysia, in business environments in Brazil and in the information and communication technology (ICT) and pulp and paper industries in Finland (Lucas & Ogilvie, 2006, p. 18; Han & Anantatmula, 2007, p. 421–439; Ma et al., 2008, p. 97–108; Foon & Fah, 2011; Zanini & Migueles, 2013; Ellonen, Blomqvist, & Puumalainen, 2008). Based on studies discussed earlier, it can be concluded that trust in an organizational context is a critical element in knowledge and information transfer between members. We can conclude that trust can be developed but not necessarily easily or quickly. Cultivating trust takes time; it is a delicate job because one often has to operate in an already existing institutional context, which can obstruct its development. Trust is very fragile and can easily turn into distrust.

2.6.4 Trust in academic institutions

Trust in academia is a broad topic that covers many aspects of academic practices and life. This research will shed light on the trust between those in academic institutions. Only a few studies have been conducted on trust in the context of academic institutions (Kramer & Taylor, 1996; Morley, 2003; Taylor & Martin, 1987; Deem et al., 2007). Trust is not discussed much,

possibly because its role in university life is not fully recognized or because it is not perceived as directly responsible to policy and action by the institution.

Decision making at universities can be hindered by institutional complexity due to the different interests of the actors involved and due to their unwillingness to share information. Trust is considered one of the vital success factors for interorganizational collaboration. There is a common belief that when hiring new faculty many academic institutions focus more on applicants' list of publications rather than their teaching abilities. This puts academics under pressure to consistently publish high-quality work (the "publish or perish" concept); consequently, they may produce less work. Many researchers and PhD students at academic institutions who receive public funding are required to publish their results. The multi-dimensional views in this situation can affect the decision to adopt an open-access repository. In this scenario, the impact of trust is substantial.

Postgraduate research students tend to believe the information provided by their academic advisors gained through personal experience and knowledge. This information can influence students' behaviours and attitudes. As discussed earlier, trust must be built through interactions and communication among actors and can change at any stage of a relationship. Research has shown the importance of communication in building trust between individuals. Handy (1995) states that "trust needs touch" (p. 46). Regarding perceptions about open access, Bevilacqua (2007) states that postgraduate students appreciate open access e-theses, particularly if they are encouraged by their doctoral advisors. According to Bratteteig and Wagner (2014, p. 70), "in the situation where the outcome of a decision is open, trust is required, it implies a certain amount of risk".

2.6.5 Trust and perspectives on open-access e-theses

With all these issues that surrounding the implementation of open access e-theses, in general, there is a respect of intellectual property in academia and a sense of morality towards using online sources in research. Therefore, raising the level of awareness in academia is crucial to demonstrate the importance and benefits of open-access, such as the promotion of research. Being unaware of open-access e-theses and IRs in general stands out as the greatest barrier accounting for low participation rates. Trust is an important factor in this and can play a critical role in increasing the level of awareness amongst postgraduate students.

This is consistent with Hahn and Wyatt (2014), who surveyed business school faculty members from 125 Association of Research Libraries (ARL) institutions and concluded that the majority were unaware of IRs in their institutions. Dutta and Paul (2014) surveyed selected science and technology faculty members at the University of Calcutta in India and found that their attitudes regarding IRs were generally positive. However, their awareness was less than satisfactory. Those aware of the IR discovered it through the Internet. The issue of e-copyrights was the most influential factor in terms of unwillingness to contribute to the IR.

Another aspect that can affect the adoption of open-access e-theses repositories is distrust and the fear that others may misuse or steal their work. This is often the result of colleagues/advisors suggesting the restriction of theses, which unfortunately makes the authors of theses unconfident that others will not use their work properly or that they will lose the copyright. Kasperson, Golding and Tuler (1992, p. 161) state that distrust often arises due to violations of people's expectations.

The level of trust in institutions can be negatively impacted by the conflict between members. Sztompka (1999) states that distrust of an institution increases if people experience conflict with management due to the relationship between the trust on the people who are managing those institutions and the perception of trust of the system or institution. Gasman et al. (2007) examined historically black colleges and universities (HBCUs) and found that with greater faculty diversity there is an increased chance of conflict and less cohesion among faculty members. This could affect the faculty members' level of trust in peers and in the institutional system. The relationship between supervisors and students is critical; if it is positive and collaborative there will be positive outcomes for scholarly life, but if it is negative a lot of resources, such as time and effort, will be wasted.

The social worlds model is important in understanding the interaction processes that determine the ways or paths of actions. Strauss (1993) states that "disagreement about an issue will result in argument, debate and not entirely harmonious discussion before equitable decisions are reached" (p. 226). Strauss also mentions the effect of changes in membership in influencing the definition and resolution of issues.

In a study of academic collaboration, Newell and Swan (2000) found that "simply communicating and interacting does not guarantee the development of trust, particularly in

situations where the players in the network have very different epistemological perspectives”. Rather, increased communication merely helps to highlight these differences.

Butcher and Clarke (2001) and Buchanan and Badham (1999) discuss the emerging role of distrust as an important part in creating institutional change and healthy intra-institutional competition. They suggest that managerial relationships are not necessarily matching with or aligns with the trust; considering the change of environments and situations. Furthermore, “the context for trust in managerial relationships needs to allow specifically for the intervening impact of hierarchy on perceptions of trust and trust development” (Atkinson, 2003, p.286).

Regarding trust in academic relationships, specifically adviser–student relationships, Kramer (1996, pp. 226–230) states that the “view from the top” can differ from the “view from the bottom” in terms of the trust creation process in a relational context. The trust relationship for both supervisor and postgraduate student is affected by factors that sometimes increase or decrease the trust status between the two parties. Postgraduate students depend on their degree progressing on a varieties resources that doctoral advisors provide to them that have affect their degree and their career future. As well as, benefits for supervisors such as a reputation and research production are also considered by supervisors in this relationship. Kramer (1996, p. 229) states that:

A graduate student’s reputation depends, in no small part, on what faculty members with whom they have worked say about them. In turn, the reputation of faculty members, especially if untenured or relatively unknown in their filed, is at least partially in the hands of doctoral students with whom they are associated. What their graduate students say about them to other students, especially new prospective graduate students, may affect their ability to attract good students in the future. And what they say about their professors later after they have moved on to assistant professorships can enhance or damage a faculty members’ reputation in the field. Thus, for both parties the shadow of the future is likely to loom quite large, especially as investments in the relationship increase.

Trust is an important element in a conflict situation and works as a buffer between parties (Frost & Taylor, 1996). Kramer and Martin (1995) describe what they term the “black hole,” where students and faculty go for long periods without communication. Confidence in the relationships between doctoral students and their supervisors has great impact on the decision

to adopt open-access e-theses. When academic advisors believe that open-access e-theses are valuable it will affect students' decisions and help improve awareness amongst them. The role of trust in knowledge sharing is critical vis-à-vis open-access e-theses at academic institutions. By questioning how to encourage people to share or transfer what they know, trust is seen the prominent element between the information sharing and strong bonds interaction. It is important that the two types of trust, benevolence and competence-based trust, exist at the same time so that knowledge can be exchanged effectively. It is important to ensure an environment of trust to facilitate interactions between individuals and groups at institutions.

Ghosh, Whipple, and Bryan (2001, p. 325) define student trust as “the degree to which a student is willing to rely on or have faith and confidence in the college to take appropriate steps that benefit him and help him achieve his learning and career objectives”. Sirdeshmukh, Singh, and Sabol, (2002) state that “although a student may trust that the HEI's faculty members are doing their best to aid students in achieving their learning and career goals, that same student may be suspicious of whether the HEI's administrative policies and practices are centered on the student's best interest”.

Andrews and Delahaye (2000) found that in the absence of trust, formal knowledge-sharing practices were insufficient to encourage individuals to share knowledge with others in the same work environment. Abrams et al. (2003, p. 65) interviewed personnel at 20 organizations to identify the ways in which interpersonal trust can develop in a knowledge-sharing context. They found that interpersonal trust is a central characteristic of relationships and promotes effective knowledge creation and sharing in networks. Adamatti, Castelfranchi, and Falcone, (2013) state that ‘in social networks trust has been analysed as it is an aspect that greatly influences the process of interaction among their members.’

Understanding the structure of trust and how it develops in different social context allows us to understand how trust shapes the relationship between parties in different contexts. Kitschelt (1980) states that a social arena is “a metaphor to describe the symbolic location of political actions that influence collective decisions or policies”. Trust and the sincerity of actors are what makes people believe these actors, accept them as role models or “identify them as experts” (Renn, 1993 p. 186).

According to Bratteteig and Wagner (2014, p. 70), the literature on decision making in institutions provides trust as a concept along with power, influence and loyalty. Trust includes

the feeling that one can somehow rely upon others; it is the “confident expectation of the benign intention of others” (Dunn, 1990, p. 74). Without trust and confidence between or within groups, a team will struggle to make progress. In learning organizations, when a culture of openness and trust can be developed the “negotiated action” is likely to be more effective (Senge, 1993).

2.6.6 Trust and staff consultation in institutional policies and procedures

Researchers have recognized the impact of trust on coordination and control at the institutional and interpersonal levels of organizations (Lane & Bachman, 1998). Morgan and Zeffane (2003, p. 55) state that despite the importance of trust in social science research as a key element in the success of institutions, few studies of organizational change cover the role of trust in the process of change. Using data from the most recent Australian Workplace Industrial Relations Survey covering over 2,000 workplaces and over 19,000 employees, Morgan and Zeffane (2003) investigate the potential effects of change strategies on employee trust in management. The results show the central role of senior management in the process of change in Australian workplaces. They also show the importance of consultation between top managers and other staff members regarding any new policy in order to effectively implement change and to avoid conflict that results in high staff resistance (Mishra, 1998, p. 57; Morgan & Zeffane, 2003). Conflicting views result in lower institutional willingness, leading to issues that require managed action between institutional actors. Regarding the social worlds concept, Huysman and Elkjaer (2008, p. 4) state that it “provides a lens to study learning as a result of tensions between different social worlds”. Their research examines whether the social worlds theory offers an alternative framework to study collective practice-based learning processes and also investigates agency and conflict.

2.7 What are academic research institutions?

Academic institutions or research organizations involved in creating information can carry out research, and applied research organizations can collaborate with HEIs and act as moderators between private and public organizations. Unlike HEIs, applied research organizations do not consider teaching and learning to be within their scope. However, they might include some PhD students working closely with other academic institutions. Research institutes can be

divided into two types, profit and non-profit. They can also be defined as public or private organizations. Both works to assist countries in their research activities; however, for profit organizations (or the private type) try to support themselves by developing innovation capabilities. Their efforts contribute to economic growth, as they are involved in the production of knowledge and the development of technology.

Research institutions differ according to the specific fields they cover. Some have more of an industrial scope, while others operate in areas such as agricultural research, education and history. Some research institutions study only one field, while others study more than one. A research institution's work might cover a specific geographical space or extend beyond local borders. As previously mentioned, institutions could be linked with governments or with private organizations and sometimes with both. They generally aim to achieve their goals and vision within a framework designed to enhance and develop the research field and to find solutions for many issues. Research institutions thus becomes an important reliable source in providing information required for higher authorities' decision making. The properties and features of research institutions shape scholarly communication. Garvey (1979) states that "communication is the essence of science", with interactive communication being an important characteristic of science as a social system. Reality in the research community is considered via the scientific approach, peer review, discussion and debates at conferences by ensuring the quality of the interpretation of research methodologies and outputs (Bruno & Steve, 1979).

2.8 Open-access e-theses strategies and policies

Previous research studies have concentrated more on the infrastructure and specific requirements of an IR in a university environment, but there is still a need to understand users' attitudes regarding e-theses as part of scholarly communication and knowledge sharing to advance knowledge. Developing a digital preservation policy is crucial to gaining the most benefits from open-access e-theses. Most issues with e-theses are connected to institutions' preservation policies. The lack of a long-term vision hinders the advantages of e-theses (Barnes et al., 2012; Lippincott & Lynch, 2010). A number of factors, such as the ease of use and the cost of software, influence the selection of a suitable format for long-term digital preservation.

Bevan (2005, p.101) completed a case study on the presentation of mandatory submissions at academic institutions. The study concluded that intensive work was needed to ensure the

acceptance of a policy on open-access e-theses as a general principle among various groups at the university and managerial procedures and time needed to be included in the policy.

Research conducted on open-access e-theses policies and IR have mentioned that the contributions of participants in such a programme are unsatisfactory when the work submission policy is not compulsory (Jones & Andrew, 2005). The Networked Digital Library of Theses and Dissertations (NDLTD) found that most of its member institutions had no policies on the stewardship of student data related to open-access e-theses, and in the cases where students provided data with their open-access e-theses, the libraries treated them as supplementary files.

2.8.1 Type of deposit policy

Two main policies exist for submitting e-theses in repositories, opt-in policy and the opt-out policy.

- **Opt-in policy**

With the opt-in policy, the decision to deposit a thesis electronically to make it accessible online through an IR rests with the student. In some cases, supervisors must approve the deposit. There is some concern about whether students are sufficiently informed about the issue to make the decision, especially when it comes to sensitive and controversial research areas, such as animal testing (Greig, 2005).

- **Opt-out policy**

With the opt-out policy, theses are made openly accessible by default unless there is a good reason not to make a work publicly accessible. Barnes (2010) states that “Of necessity, the *opt-out* policy is accompanied by the option to embargo a thesis for a period varying between institutions, on presentation of a strong case for the thesis to remain confidential” (p.15)

Most universities and HEIs in the UK have chosen the opt-out policy for their e-thesis and dissertation (ETD) deposit policies (Brown & Sadler, 2010; Barnes, 2010; Greig, 2005; Barnes et al., 2012). Case studies conducted by a University College London (UCL) project team revealed some reasons why HEIs have decided on the opt-out option and why it is more popular

than the opt-in option. The desire to maximize the visibility of theses and dissertations is a significant factor behind this choice (Brown & Sadler, 2010). Barnes et al. (2012) state that some institutions see the opt-out policy as the best way to maximize the impact of the move to e-theses. They found that some institutions changed their deposit policies from the opt-in option to the opt-out option after recognizing that some subjects or disciplines were depositing less than others, which resulted in different levels of coverage across the university. Academics are more comfortable with the embargo option in the opt-out policy, which is not part of the opt-in policy (Greig, 2005).

2.8.2 Restrictions and embargo

The increased use of open-access e-theses has raised many issues, such as concern about the protection of sensitive materials. Some materials are deemed sensitive, such as personal materials relating to the medicine. In a survey by Barnes et al. (2012), about half of the respondents (75 of 144 respondents) reported concerns about sensitive data in theses. The survey also stated that data with commercial value, political and confidential government statistics, personal material relating to the field of medicine and information relating to court cases, child healthcare, education and clinical studies are considered necessary to protect and remove from public access. Therefore, many researchers and institutions attempt to restrict access and provide only metadata or abstracts of theses and dissertations to avoid any risk that may occur if a full version were to be made available via open-access e-theses. The protection of commercially sensitive material is a common reason for restricting access, particularly in the sciences and the engineering and pharmaceutical industries. HEIs have long accepted that protecting the commercial interests of sponsor companies is a necessary condition for securing funding and accessing data/facilities for research (Barnes, 2010).

National security has been raised as a concern for research related to the Ministry of Defence or intelligence and security matters. In a study by Barnes et al. (2012), the majority of survey respondents (79%) dealt with this concern by restricting access to their theses, 47% by employing an embargo and 32% by employing other restrictions, such as opting out altogether.

2.8.3 Copyright and intellectual property

Copyright and IPR are among the major issues for institutions adopting e-theses programmes (Leung, 2005; Ghosh, 2007). Copyright owners decide how to distribute their work, and in the case of e-theses, researchers or postgraduate students are generally the copyright owners (Surratt, 2005). In the past, copyright was not a big issue in the case of theses and dissertations because the traditional print theses stored in libraries were not considered published documents, and the risk of copyright infringement was deemed unlikely.

With the current process of open access e-theses, many issues have arisen regarding third parties and the use of these materials (Barnes et al., 2012). Barwick (2007) states that a work may be restricted or access limited due to an agreement between the publisher and the researcher. Depositing a section or a part of a student's work as a paper or article with a commercial publisher might entail a transfer of the copyright to the publisher.

Despite the common concern that having open access to e-theses will allow plagiarism, repositories have search features that detect plagiarism and help to reduce its occurrence (Fox, 2001). Open access to information allows for a rapid and accurate search for articles and the tracking of any attempt to copy or plagiarize. It also offers the advantage of the possibility of further analysis of articles by other researchers, which provides an excellent opportunity to discuss the outcomes of the research and facilitates scholarly communication. The development of broadcasting services that enable individuals to publish in the open-access environment will lead to the increased ability to detect plagiarism, whether in whole or in part. This is contrary to the expected increase in plagiarism, theft and loss of property rights that many people thought would result.

The rapid developments in digital technology make dealing with copyrights that much more difficult and can create conflicts between copyright owners, who seek to establish an effective approach to protect their intellectual property and ownership, and others, who emphasize the significance of the common good and public use in accessing and using works. To address this issue, Creative Commons licensing is a copyright protection approach for work in the digital era that enables free public use of a copyrighted work. Under this approach, the owners hold the copyright but allow others to use the work without permission and without cost as long as they attribute and credit the owners for the original work. Creative Commons licensing has become a global method of licensing digital creations and organising materials in open access

domains (Barnes et al., 2012), providing additional protection for owners against misuse of their work by designating specific conditions under which their creations may be used. It also helps detect misappropriations, helps overcome potential issues when authors submit their theses, and simplifies future rights and permissions processes.

For example, The University of Edinburgh has implemented a robust licensing system to address issues when authors submit their theses, dissertations and other digital materials to the university's archive. Authors are asked to agree to the following three-part licence:

- Deposit licence: "This gives EUL the non-exclusive right to hold, disseminate and preserve the e-thesis. The "submitter" also warrants that the content does not breach any laws including defamation, libel and copyright".
- Use licence: "This clearly defines what rights end users have to downloaded material, e.g. reproduction and access, and to remind end users of any restrictions placed on the item, thereby giving submitters/institutions some protection against plagiarism or changes to the content. The licence is the UK version of the Creative Commons (CC) "Attribution-Non-Commercial-Share Alike" licence (<http://creativecommons.org>)".
- Restriction licence: "This offers the submitter the chance to mark the material as restricted and to apply a correct legal form of words to satisfy Freedom of Information (FOI) Act requirements, which will ensure the item stays restricted" (Jones & Andrew, 2005).

Meanwhile, in the United States, many academic institutions provide detailed information about Creative Commons licences to their students so that they understand that they have the option use this approach for their open access e-theses. Institutions, such as Rensselaer Polytechnic Institute, offer the required information regarding these licenses to help students understand the implications (Rensselaer, 2019).

The Creative Commons license is useful for students or authors who seek to be recognised. However, authors who want to publish articles or books may encounter issues with this type of license when the work is made available to the public, since this type of license is irrevocable, and the thesis could be considered as an already published work by some publishers (Creative Commons, 2018).

The Scholarly Publishing & Academic Resources Coalition (SPARC) (2006) encourages authors to read any publisher agreements carefully before signing. It explains that a publisher requires only permission to publish the article and not a wholesale transfer of the copyright. and suggests that authors add a statement in the agreement to the effect that he/she is not transferring the copyright but rather is only granting a license to publish.

Since universities began to create IRs, provide full ETD texts and allow or require students to deposit ETDs in the ProQuest/UMI repository, there have been concerns about IPR (Edminster & Moxley, 2002). Surratt (2005) states that the different policies on e-theses in terms of providing IPR protection may lead to copyright infringement, “breach of author agreements, or failure of patent applications” (p. 4). Surratt states that this can happen when one attempts to apply U.S. copyright laws, which were created for print publications, to open-access documents.

2.8.4 Copyright versus plagiarism

Edminster and Moxley (2002) explain the difference between copyright and plagiarism in terms of IPR; copyright violations occur when one uses someone’s work without permission. Plagiarism occurs when one claims that he/she is the author of another author’s work. Some institutions do not want to place their students’ full-text e-theses online because they fear they will be plagiarized. Students and their supervisors also have this concern (Narang et al., 2005; Copeland et al., 2005; Satyanarayana & Babu, 2007). Copeland, Penman, and Milne (2005) state that the accessibility of full-text e-theses might tempt some researchers to use these items inappropriately. On the contrary, Jewell et al. (2006) state that the accessibility of open-access e-theses will allow the reviewer of a document to find the source or original file through search engines. The ability to identify copyright violations and plagiarism is easier when the work is available online. Furthermore, developments in plagiarism-checking software, such as Turnitin, which can identify plagiarism or copyright violations, can be applied more easily to open-access e-theses than to printed work in a library.

Universities now play the role of publisher with regards to open-access e-theses. They must therefore address the accompanying legal issues. This involves providing a high level of protection for IPR (Surratt, 2005). Numerous open-access e-theses repositories are developing

IPR agreements. Universities use their libraries' submission licenses for open-access e-theses as models for developing appropriate IPR agreements for graduate students to sign. The agreements explain how open-access e-theses will be disseminated online and how they will be used (Harper 2009). Generally, an open-access e-theses submission license awards a university a non-exclusive license to publish a work online. Fox et al. (2003) state that open-access e-theses submission licenses typically have copyright statements similar to that suggested by the NDLTD.

Authors' misunderstanding of publisher's policies regarding the copyright and reuse of publications has made them hesitant to publish their work. Barwick (2007) and Gadd et al. (2007) state that misunderstandings exist amongst students about their right to reuse their work after signing copyright transfer agreements. Because of this misunderstanding, postgraduate researchers hesitate to deposit their theses electronically (Bevan, 2005). Morris (2009) states that authors believe that if they keep the copyright, they can avoid publisher restrictions.

2.9 Open-access e-theses infrastructure issues

Many studies have discussed the technological factors relating to open-access e-theses, including choosing appropriate software (Copeland & Penman, 2004; Genoni, 2004). Open-access e-theses software includes DSpace, EPrints, ETD-db and FEDORA (Narang et al., 2005). The selection of the correct software is often affected by things such as administration issues, funding and the purpose of the repository system (Jones & Andrew, 2005; Wong, 2006). In terms of funding, a 2003 study by the United Nations Development Program and the Kuwait-based Arab Fund for Social and Economic Development reported how dire the situation is in Arab world regarding investment in scientific research, which does not exceed 0.2% of GNP. In comparison, the US spends more than 10 times that amount. While the global rate for computers per person is 78 per 1,000, the rate is only 18 per 1,000 people in the Arab world (Del Castillo, 2004). Some repositories' software is open source, providing a good solution for institutions suffering from a lack of funding by minimizing the associated costs of building an open-access e-theses programme (Jones & Andrew, 2005).

2.9.1 Open access e-theses software types

The choice of e-theses software depends on the purpose or scope of the repository system. For example, DSpace and EPrint can be used for multiple content types, but ETD-db was developed only for open-access e-theses. Therefore, university libraries and other institutions must research the software options and test software to determine what is most appropriate for their needs (Copeland & Penman, 2004). The process of choosing is not simple. Copeland et al. (2005) state that institutions should consider a number of key criteria in identifying the most appropriate software:

- 1) Suitability: the software has the ability to work across various operating systems and hardware
- 2) Interoperability: to ensure cross-institutional access
- 3) Functionality: the software should have a number of services and multi-functionality (long-term preservation, efficient user interface, storage and security capacity, etc.)
- 4) Sustainability: users will get continued support

Long-term preservation is one of the practical concerns associated with digital content, although it is also associated with policy and planning processes. Shearer (2006) states that the long-term preservation of digital items must be provided by repositories and open-access e-theses in addition to other services, such as immediate access to research outputs. Hockx-Yu (2006) states that a number of planned and managed actions should be undertaken to ensure continued access to digital items for a long period. Despite the ability of digitization to store e-content and save space for the future, the technological developments involved in this procedure are a real concern for repositories (Barnes et al., 2012).

Hockx-Yu (2006) states that the obsolescence of technology is also a concern with regard to digital preservation. With the rapid changes in technology, digital preservation must be done more quickly than paper preservation. Teper and Kraemer (2002) state that institutions building repositories must carefully consider the long-term preservation of their materials.

Li and Banach (2011) state that U.S. HEIs focus on making their research results more open and instantly accessible and do not consider the management and long-term preservation of their digital assets a key function of their repositories. They note the gap between HEIs' motivations and aspirations for repositories and their current ability to preserve digital

properties. Chang (2002) states that current digital storage options are not yet totally trusted and cannot be relied upon. Bellamy (2005) warns that archival practices and preservation are still not completely developed; therefore, important knowledge might be lost. However, Caplan and Thomas (2006) identified some options for the long-term preservation of open-access e-theses.

- The first option is to rely on traditional methods, such as a paper/microfilm copies of e-theses as temporary archival copies. However, this method does not support materials such as audio–video files.
- The second option is for graduate schools to require theses to be created in formats that are more easily archived, such as portable document format (PDF); hypertext mark-up language (HTML); PDF/A, which is a specialized version of PDF for the digital preservation of e-documents; and extensible mark-up language (XML).
- The third option relates to the benefits of preservation services provided by commercial third parties, such as the OCLC Digital Archive and ProQuest/UMI, both of which plan to move beyond bit-level services to full preservation. Becoming a certified, reliable digital repository is one institutional aim (McLean, 2004). Institutions can enter into a contract with one of the mentioned third parties to ensure unchanged digital files that can be read by media at the bit level using methods such as secure storage and redundancy and fixity checking.
- The last option is managing the preservation archive of the institution using an open source IR system, such as D-Space from the Massachusetts Institute of Technology (MIT) or EPrint. This can be combined with other applications to create a true archival medium.

2.9.2 File format

The PDF format is preferred by most open-access e-theses programmes because of its attributes. For instance, documents in many software programmes can easily be converted to PDF. It is flexible in that it can be used across various computer platforms and it successfully represents the print document. However, some data, such as e-images and scientific and mathematical formulas, might be lost because there is no guarantee that the visual appearance of the content reflects the original content. This defeats the purpose of long-term preservation (Park et al., 2006). Institutions do not rely on a specific or exclusive file format for access,

submission and long-term preservation purposes. Therefore, both the PDF and XML formats are generally recommended vis-à-vis long-term access and preservation (Park et al., 2006). Institutions must cover the various costs associated with these formats.

Concerning preservation policies for open-access e-theses at academic institutions, Perrin, Winkler and Yang (2014) state that universities hosting an open-access e-theses repository should have a good strategy in place to ensure data will not be lost and should have a long-term backup storage solution to prevent data loss and damage.

2.10 Other influences on open-access e-theses and dissertations

Research shows that governmental and research bodies, such as RCUK, have been vital in the decision to adopt open access (JISC, 2011; Hall, 2013). External environments play an influential role in the decision to adopt open-access e-theses. They provide guidance regarding adopting repositories and the dissemination of open-access e-theses projects. External influences, such as governmental influence, could affect the adoption and policies of open initiatives, such as e-theses. Xia et al. (2012) state:

The UK Parliament's Science and Technology Committee recommended a funder-based mandate policy in its 2003–2004 report: We recommend that the Research Councils and other Government funders mandate their funded researchers to deposit a copy of all their articles in their institution's repository within one month of publication or a reasonable period to be agreed following publication, as a condition of their research grant (p. 88).

Swan (2005) states that scholars should be asked for a copy of their work to deposit in the IR as a condition for government and research council grants. Harnad (2001) states that in the UK the RAE could influence the adoption of IRs by making mandatory the self-archiving of literature in repositories by academic institutions in their six to seven years refereeing of research.

2.11 Open access e-theses and dissertations on a large scale

NDLTD is one of the leading open-access e-theses project in the world, and in advocating *open scholarly communication* it encourages authors/researchers to place their work in open repositories to improve knowledge sharing worldwide (Suleman et al., 2001). NDLTD has around 132 members, including universities in the US and Europe; many special library associations, such as the Association of Research Libraries; and individuals. It fully supports the open-access movement (NDLTD, 2015).

Many open-access e-theses initiatives have been established (Swain, 2010; Goodfellow, 2009). Locating and distribution of theses and dissertation have been enhanced with the integrating of electronic which in results to disseminate graduate level of academic research (McCutcheon, 2011, p. 64).

While open-access e-theses allow greater exposure to research, university open-access e-theses programmes can also control who, when and where theses and dissertations are accessed (NDLTD, ETD statement about publication, 2009). Many other organizations are working to open research to everyone, such as Adobe, the American Library Association, the ARL, the Coalition for Networked Information, the Joint Information Services Committee, the Online Computer Library Center (OCLC), ProQuest/UMI, and Theses Canada (NDLTD, open access e-theses statement about publication, 2009).

In 2003, the NDLTD was incorporated as a non-profit 501(c) 3 charitable organization with a set of by-laws. A board of directors replaced the steering committee and introduced a dues structure to provide organizational stability. ProQuest, Elsevier, EBSCO Information Services, Emerald Publishing and other organizations provide support and sponsor symposiums and conferences on open-access e-theses covering topics such as what academic institutions are currently doing to ensure the long-term availability of their open access e-theses, how to prevent plagiarism and how to encourage the implementation of open-access e-theses projects in developing countries.

As noted earlier, the story of open-access e-theses is linked to the establishment of NDLTD and the discussion around the e-publishing of doctoral theses on the Internet. The following table shows details about two remarkable open-access e-theses projects, NDLTD and EThOS by the British Library.

Project	Goals	History	Vision	Members	Systems & Software
NDLTD	<p>To be the leading international organization for the promotion of open-access e-theses worldwide</p> <p>Promote the development of open-access e-theses programmes by providing useful and innovative resources, standards and technology</p> <p>Encourage institutions to use and participate in NDLTD activities</p> <p>Provide a search mechanism to help scholars find relevant papers</p>	<p>First discussion in 1987 in Michigan</p> <p>Established in 1996</p>	<p>Expand and convince more universities/ institutions to participate in this project (international collaboration) by explaining the benefits of open-access e-theses and of sharing resources</p> <p>Improve policies and strategies by holding a series of conferences and workshops across the world</p>	<p>161 members, including universities, professional members and individual members</p>	<p>ETD-db software by Virginia Tech University</p> <p>The Open Archives Initiative Protocol for Metadata Harvesting OAI-PMH</p> <p>ETD-MS</p> <p>Most in PDF format, papers written in MS Word or other formats are transformed into PDF before submission</p>
ETHOS	<p>To offer a single point of access where researchers the world over can access ALL theses produced by UK HEIs</p> <p>To support HEIs via the transition from print to e-theses</p> <p>To help UK HEIs expand available content by digitizing paper theses</p> <p>To demonstrate the quality of UK research and help attract students and research investment to UK HEIs</p>	<p>ETHOS ‘The Electronic Theses Online Service’</p> <p>Launched in January 2009 by the British Library</p>	<p>Harvesting PhD e-theses from all UK universities</p> <p>British Library continues to offer a digitization service, and all returns from this supplementary service will be reinvested in the ETHOS platform</p>	<p>Over 120 UK universities and academic institutions</p>	<p>Using (UKETD_DC) around 480,000 records, 160,000 theses with open- access full text</p> <p>Updated at least weekly</p> <p>Theses harvested from UK HEI repositories</p>

Table 3: Overview of two major open-access e-theses models (data from the organizations' websites)

2.11.1 Open-access e-theses movement at academic institutions

Academic organizations in the Western world have made much progress regarding open-access repositories (Reeves, 2010). One of the main initiatives began in 1996 at the University of Waterloo in Canada and provided free full-text theses and dissertation for everyone (Jewell, Oldfield et al., 2006). The real breakthrough for open-access e-theses development in the UK came in 2002 when JISC funded three e-theses-related projects as part of the FAIR programme. The first project, “Electronic Theses”, was led by Robert Gordon University and examined open-access e-theses production, management and use. Working closely with consortium members, including Cranfield University, the British Library and other FAIR project teams, it produced models and guidelines for the academic community and for a potential national e-theses service. The second project is the “DAEDALUS” project at the University of Glasgow that investigated the use of different types of repository software to store different types of research materials, including e-theses, for access from within the university and by the wider community. The third project is “Theses Alive” led by the University of Edinburgh, which developed an Open Archives Initiative (OAI)-compliant pilot system for the management of open-access e-theses and created a thesis submission add-on system (TAPIR). The inclusion of theses in the Edinburgh Research Archive provided practical experience of dealing with this type of research output at an IR. The three projects worked together closely to develop a UK Metadata Core Set for open-access e-theses and to identify the key issues involved in successful advocacy work (Troman, Jacobs, & Copeland, 2005). The EThOS project by the British Library spearheaded the open-access e-theses movement in the UK by developing one portal, the ETD UK repository, that contains and covers most of the UK universities theses and dissertations.

2.11.2 The role of the structure and culture of institutions

Bureaucracy at Kuwaiti academic institutions is a common issue that exists at many levels and that affects the development of many policies and procedures. Regarding the higher education sector in the Arab world, Del Castillo (2004) states that wealthier countries such as the United Arab Emirates and Kuwait suffer underdeveloped university systems, bureaucracy and the lack of significant private industry, all of which hamper progress. The long bureaucratic process that characterizes Kuwaiti universities influences the adoption and development process. This

includes the lengthy procedures involved in decision-making structures and especially any process that requires financial commitment and approval for expenditure of funds by the Ministry of Finance. The results of focus group discussions in a study by Alawadhi (2007, p. 256) on the adoption of e-government in Kuwait revealed that:

The incomplete implementation of the technical infrastructure of government departments would result in a number of problems that might discourage them from using e-government services. Such problems are related to the lack of links between government departments, which requires citizens to submit similar information and documents to different departments. This reflects bureaucratic procedures that waste users' time and effort and render e-government services less responsive to their needs (Alawadhi, 2007, p.256).

These procedures require communication and cooperation between governmental authorities and the institutions. This was cited as an issue in the study by Al-Fadhli and Johnson (2006), who investigated the barriers to implementing an electronic document delivery service at Kuwait University (KU) and the Public Authority for Applied Education and Training (PAAET), major academic and research institutions in Kuwait. The study found that several factors affect document delivery initiatives, including a lack of coordination and complete non-cooperation between governmental authorities and establishments. In highly formalized environments and bureaucratic systems, the adoption process is usually complicated and slow (Chompalov et al., 2002).

2.11.3 Open-access e-theses and dissertations movement in developing countries

Many studies have discussed the adoption and implementation of e-theses in the developed world; however, there is less research on the topic in the developing world (Ghosh, 2007; Cayabyab, 2015). Many authors believe that the cost of publishing, research dissemination and knowledge sharing can be addressed through new approaches, such as open access (Chan & Kirsop, 2001). Kirsop and Chan (2005) identify several advantages of open access in developing countries. It has a significant impact in this part of the world in terms of the limited access to research publications because of expensive subscription costs. It also distributes local research to counterparts in developed countries by archiving their research and making it available internationally.

Kiondo (2004) states that African researchers have faced many difficulties in accessing each other's work. Hence, the establishment of a repository in this area may help overcome this issue and improve the visibility of African scholars at the international level. Frandsen (2009, p. 58) states that "Authors from developing countries are not more attracted to open access than authors from developed countries" and adds that open access does not significantly affect authors from developing countries in terms of citing available open-access research and publishing their own research in open-access journals.

Al-Fadhli and Johnson (2006) conducted a study on the adoption of an e-document delivery system at Kuwaiti academic institutions. The study did not focus on open-access e-theses, but it did reveal a number of issues that could influence technology development in that region, such as the low level of cooperation between academic organizations and the government and the absence of technology plans and strategies.

A multiple case study by Ghosh (2007, p. 3) explored the possibilities for creating a national open-access repository, particularly for PhD theses, in India. The data were collected in 2007 using mixed methods (interviews and a questionnaire). The study included the potential impact of an open-access e-theses repository on economic development in developing countries and the possibility of increasing author motivation and visibility when publishing their work. However, Frandsen (2009, p.71) on 130 journals based on geographic location and using bibliometric analyses to investigate the use of open-access in developing countries denied the benefits and attraction of open-access academic publications in developing countries.

The researcher added that authors from developing countries are not attracted to open-access e-theses more than authors are from developed countries. This study was useful to understand researcher perceptions and attitudes in the developing world to explore issues surrounding attitudes towards open-access e-theses.

It is important to note the gap between motivation and inspiration, particularly in institutions that have adopted repositories. Li and Banach (2011) conducted a national survey that was sent to 72 research libraries regarding the relationship between research libraries and member institutions in 2010 to examine the status of preservation in repositories and related practices and policies. The survey revealed that US HEIs are focused on making their research results more open and instantly accessible, but they do not consider the management and long-term preservation of their digital assets a key function of their repositories. Although the study

concerned the US context, the results are helpful for guiding decisions about preservation procedures and concerns in other countries. Barnes et al. (2012, p. 35) state that the lack of policymaking could hinder open-access e-theses benefits. The motivation for adopting open-access e-theses is an important factor in the decision of whether to adopt open-access e-theses.

2.12 The use of unified theory of acceptance and use of technology (UTAUT)

In this section, a brief overview of models that explain the level of acceptance of technology and technology adoption is given. These models provide essential themes and frameworks related to the acceptance and diffusion of IT in institutions. A number of these models have been widely tested and implemented in various contexts, such as organizational, social and individual contexts in connection with IT usage (Chin & Marcolin, 2001).

2.12.1 Background and history of acceptance and adoption models

Research on the acceptance and adoption of technology has been ongoing since the 1940s. Rogers (2003, p. 54) states that diffusion research started after 1943 with Ryan and Gross's study of Iowa farmers' diffusion and adoption of hybrid seed corn. Several models and theories describe what allows individuals to accept a system, such as the Technology Acceptance Model (TAM), DOIM and the Unified Theory of Acceptance and Use of Technology (UTAUT). Each model has its roots in IT, information systems (IS), psychology and sociology (Venkatesh et al., 2003).

Various models that have been broadly adopted and partially applied have employed theories relating to institutional, social and individual psychology and have put these in the context of IT usage. For example, TAM (Davis, 1989) is based on Ajzen and Fishbein's work on the Theory of Reasoned Action (TRA) (Ajzen & Fishbein, 1973). Ajzen proposed the Theory of Planned Behavior (TPB) in an attempt to address attributes that TRA overlooks (Ajzen, 1985). TPB is heavily focused on behavioural aspects. Rogers's DOIM was created as a result of agricultural innovation in the late 1950s. Through the years, many professionals have used it in different contexts from rural technology to marketing, communication and sociology to new innovation adoption in the learning environment (Martins et al., 2004; Kebritchi, 2010; Berger,

2005). Previous educational diffusion research has found there is a huge time lag for the spread of new educational ideas (Rogers, 2003).

Rogers (2003) states that all new technology is met with some form of resistance until society has nearly fully adopted the new technology. When people become fully aware of, understand and accept technology, such as open-access technology, complete adoption will follow. Diffusion is the key concept of Rogers's theory, defined as "the process by which an innovation is communicated through certain channels over time among the members of a social system" (Rogers, 2003, p. 5). Four elements are involved in the diffusion process—innovation, communication channels, time and the social system. Although Rogers' model has been employed in many studies and covers a wide range of elements that can explain the adoption of technology in many contexts related to the social system, it does not cover some aspects relating to technology infrastructures. This is because DOIM is based on more general diffusion and innovation definition rather than on the adoption of IT.

These frameworks, however, have been criticized. Hsiao (2013) criticized TRA as "being a general model which does not specify beliefs about a particular behaviour". Hung et al. (2006) state that the critical advantage of using TPB is its assertion on external variables of system acceptance. Pedersen and Thorbjornsen (2005) criticized TPB for "not suggesting the determinants of attitudes, subjective norms, and to some extent, behavioural control". DOIM is criticized for increasing the gaps that exist among individuals in different socioeconomic classes. A study by Kilmon and Fagan (2007) indicated one of the issues of equality examples, which is compared between two different socioeconomic backgrounds: patients in a nursing facility and students in a K–12 environment.

Venkatesh, Morris, Davis, and Davis's (2003) UTAUT, is a synthesis of earlier theories about the acceptance of technology acceptance. It is based on TAM but adds the dimensions of social influence and facilitating conditions. Chuttur (2009) criticized TAM, stating it has "limited explanatory" and weak "predictive power" and lacks "any practical value". UTAUT, however, constitutes a suitable alternative model to solve the issue of inaccuracy in predictions based on behavioural intention.

2.12.2 UTAUT

UTAUT combines the best characteristics of the other existing models of technology acceptance to produce a unified view. It integrates variables from eight models: TAM, social Cognitive theory, DOIM, TPB, the model of personal computer (PC) utilization, the motivational model, TRA and a model that combines TAM and TPB. UTAUT proposes four main independent constructs that impact use behaviour in relation to technology and behavioural intentions (main dependent constructs) and four other variables (main independent constructs)—age, gender, experience and voluntary use—that moderate the four key constructs of usage intention and behaviour (Venkatesh et al., 2003).

Venkatesh et al. (2012) extended the original model to apply it in the context of consumer technology acceptance, particularly in the study of mobile Internet technology in Hong Kong, focusing on the individual level more than on organizational settings. Venkatesh et al. (2012) state that UTAUT was chosen as a base model in their study because of its reported ability to predict intention to use technology in organizational and non-organizational contexts (p. 158). It resulted in the new factors of hedonic motivation, price value and habit. Venkatesh et al. (2012) recommend that future research projects apply the extended UTAUT in different countries across different age groups and to various technologies.

Following is a brief definition of each factor in UTAUT:

- **Expected performance** describes the degree to which an individual considers adopting a technology to provide advantages. The advantages that individuals believe come with the use of open-access e-theses will be featured and reflected on their work /research and contribute to their improved performance. Open-access e-theses' usefulness to stakeholders is a significant factor in their adoption of the technology, following the UTAUT model (Venkatesh et al., 2012). Research has found that the adoption of open-access PhD theses likely increases if they are perceived to be useful (Stanton & Liew, 2011; Ghosh, 2007). Involved groups are enthusiastic about these open-access e-theses because they expect them to improve their work, performance and activities (Ferrerias-Fernández, García-Peñalvo, et al., 2015; Copeland & Penman, 2004). Open-access E-theses are praised for reducing costs, improving an institution's image and freeing up more room for institutions (Jewell et al., 2006).

- **Effort expectancy** is defined as the degree of simplicity related to a technology. In other words, if an individual perceives the technology as easy to use, it will positively influence the intention to use the technology. This research study focuses on the level of ease in using open-access e-theses (McMillan, 2005) and the processes necessary for the adoption and implementation of open-access e-theses in institutions, including those relating to the use of resources, software, storage, etc. (Pinfield et al., 2014).
- **Social influence** describes how much an individual perceives that other people who are important to them seem concerned about using the technology. Specific people can have an impact on the decision to adopt open-access e-theses (McMillan, 2005; Greig, 2005). For instance, key actors, such as repository teams or librarians, peers and academic staff, e.g. supervisors and directors, can shape attitudes about the adoption of e-theses.
- **Facilitating conditions** show the extent to which an individual considers that conditions are right for a new technology. This includes the knowledge, assistance and technology that individuals perceive their institutions to have in relation to funding and supplying matters and infrastructure to support the adoption and implementation of open-access e-theses.
- **Hedonic motivation** is the “fun or pleasure derived from using a technology”. It involves finding out the preference for using a technology to help make informed decisions, in this case about open-access e-theses. Hedonic motivation has been found to influence the acceptance and use of technology (Brown & Venkatesh, 2005). It can reflect the preferences of individuals when using open-access e-theses, specifically their interest in using such programmes (Copeland & Penman, 2004), and can lead to improved user satisfaction.
- **Price value:** The expense linked to technology at work normally affects the organization more than the users. However, the price value of technology has an impact on both parties, for example, the implications of using a technology for an individual’s work in terms of the time required and the financial concerns related to promotions, recognition and rewards, as well as the role of technology in an institutional context in

improving the institution's reputation and image. Focus has been placed on the advantages and cost-benefit perceptions of individuals and institutions when using open-access e-theses, as well as on how researchers feel about and react to the costs and benefits related to open-access e-theses.

- **Habit** is another important predictor in personal-use settings. Limayem et al. (2007) and Venkatesh et al. (2012) state that habit is linked to prior behaviour and automaticity. It is a result of learning and is defined as “the extent to which people tend to perform behaviors automatically because of learning” (Limayem et al., 2007). According to Venkatesh et al. (2012), two points of view exist regarding habits; a habit is viewed as a prior behaviour (Kim & Malhotra, 2005), and is measured as the extent to which an individual believes the behaviour to be automatic (Limayem et al., 2007). However, habit in this research is considered based on regular practices and prior expectations and how similar technologies and services that individuals use frequently could impact the acceptance/use of open-access e-theses and how it differs among different disciplines.

2.12.3 UTAUT in different cultural contexts

McCoy et al. (2007) state that technology acceptance models, especially TAM and UTAUT, have succeeded in predicting technology acceptance in many settings but might not be capable of explaining technology adoption in all cultures. In Nigeria, Anandarajan et al. (2000) proposed extending TAM by adding social pressure and perceived enjoyment as factors that influence bank employees to use microcomputers. They identified the existence of cultural differences between Western and non-Western countries. Based on Kluckhohn and Strodtbeck (1961), Hofstede (1984; 2001) states that individuals' beliefs are based on the social norms of a culture. For example, Nigeria has a collectivist or family culture and Western countries have an individualistic or market culture in which individuals are seen as self-reliant. Therefore, the relationships among the model's variables might differ by country, making the generalizability of the model questionable. Merchant (2007) employed TAM in conducting a study in the US, France and China that sought to determine the relationship between the cultural and work values of employees and technology adoption. The author identified the TAM factors for each country, and the results showed that TAM variables are suitable for the US but not for France and China.

Williams, Rana and Dwivedi (2015) reviewed a large number of research studies on whether qualitative or quantitative research has been applied or guided by the UTAUT model. The following table shows studies and research that have used UTAUT as a guide. Reviewing these studies is important to understand the potential influences impacting the adoption of open-access e-theses technology by institutions and individuals. Most of these studies used quantitative methods of data collection. In this research study, contextual and key factors will be derived from the review and from the UTAUT and social worlds models (see section 2.14.1).

Source	Technology	Results/Comments	Method
Im, Il, Hong, Seongtae, and Kang, Myung Soo (2011) An international comparison of technology adoption: Testing the UTAUT model. <i>Information & Management</i> Volume 48, Issue 1, January 2011, pp. 1–8	MP3 player and Internet banking	The magnitude of the impact of the variables in the well-accepted UTAUT model vary across countries. Users in the US make more rational decisions, while users in Korea are more influenced by factors other than their own use intention.	Survey questionnaires within 501 randomly selected, responses from Korea and the US; the sample consisted of college and office workers.
Oshlyansky, L., Cairns, P., and Thimbleby, H. (2007) Validating the Unified Theory of Acceptance and Use of Technology (UTAUT) tool cross-culturally, <i>Proceedings of the 21st British HCI Group Annual Conference on People and Computers</i> . British Computer Society, pp. 83–86.	Website acceptance Nine different countries in Europe and Asia and the US	UTAUT was shown to be a robust tool for predicting the user acceptance of technology across different cultures. However, it was revealed that the influence of social influence factor emerged only for countries in the Asian sample. Trust is an important factor in technology acceptance, and it is also relating to differences in cultures.	Conducted principal component analysis Undergraduate and postgraduate students; the study used exploratory factor analysis to identify UTAUT factors.
Frankwell, W., Dulle, Sokoine, and Minishi-Majanja, M.K. (2011). The suitability of the Unified Theory of Acceptance and Use of Technology (UTAUT) model in open access adoption	Open access	Attitude, awareness, effort expectancy and performance expectancy were established as the key determinants of the researchers' behavioural	Survey questionnaire with 544 respondents; stratified random sampling from six

studies. <i>Information Development</i> 27(1) pp. 32–45.		intentions regarding open-access usage. Age, awareness, behavioural intention, facilitating conditions and social influence were found to significantly affect researchers' actual open-access usage.	universities in Tanzania SPSS
Mohammad Sulieman Awwad, Sawsan Mohammad Al-Majali , (2015) Electronic library services acceptance and use: An empirical validation of unified theory of acceptance and use of technology, <i>The Electronic Library</i> , Vol. 33 Iss: 6, pp.1100 - 1120	Library services	Students' intention to use electronic library services is dependent on performance expectancy, effort expectancy and social influence, while students' use behaviour is dependent on facilitating conditions and intention to use. The effect of performance expectancy on behavioural intention was significant for younger, undergraduate and social science students, while effort expectancy was significant for older and applied discipline students.	Conducted survey of 575 students at Jordanian universities
Simeonova B. et al (2014) Cross-cultural validation of UTAUT: the case of University VLEs in Jordan, Russia and the UK. <i>The Electronic Journal of Knowledge Management</i> Volume 12 Issue 1 (pp. 25-34) available online at www.ejkm.com	Virtual learning environments	Could not replicate the results of UTAUT regarding the validity and reliability	Questionnaire approach used at four business schools in the UK, Russia and Jordan
Van Belle, Jean-Paul, and Cupido, Kevin. (2013). Increasing Public Participation in Local Government by Means of Mobile Phones: What do South African Youth Think?. <i>The Journal of Community Informatics</i> 9.4	E-government and mobile phones	Used UTAUT to determine the behavioural intentions of participants regarding the use of mobile phones when interacting with the government	Surveyed 131 participants and interviewed four people (mixed method)

Al-Gahtani, S. S., Hubona, G. S., and Wang, J. (2007) Information technology (IT) in Saudi Arabia: Culture and the acceptance and use of IT:, Information & Management, vol. 44, pp. 681-691	Adoption of IT	The model explained 39.1% of intention to use variance and 42.1% of usage variance	Surveyed 722 knowledge workers
Qasem, Z. A. (2014) The Role of Website Experience in Building Attitude and Intention towards Online Shopping	Online shopping (UK and Jordan)	The role of the hedonic dimension in online shopping	PhD theses questionnaire; a sample of 575 students Structural equation modelling technique
Taiwo, Ayankunle Adegbite, Ahmad Mahmood, and Alan G. Downe. User acceptance of eGovernment: Integrating risk and trust dimensions with UTAUT model. <i>Computer & Information Science (ICCIS), 2012 International Conference on</i> . Vol. 1. IEEE, 2012.	Government e-services	Showed that performance expectation, peer influence, trust belief and risk-taking propensity are significant in predicting behavioural intention to adopt e-government services	101 university students in Malaysia Survey questionnaire Structural equation modelling was used to examine the relationship between the constructs.
Chang Chiao-Chen , (2013) Library mobile applications in university libraries, <i>Library Hi Tech</i> , Vol. 31 Iss: 3, pp.478 - 492 DOI http://dx.doi.org/10.1108/LHT-03-2013-0024	Library mobile applications in university libraries	Adopted (UTAUT) with task-technology fit theory. Findings showed that the UTAUT model fits the data well. "The empirical data reveal that performance expectancy, effort expectancy, social influence, and facilitating conditions determine users' behavioural intention of using library mobile applications. As a	Self-administered online questionnaire; a convenience sample of 363 undergraduate and graduate students. Structural equation modelling was used to identify causal relationships.

		<p>determinant in the UTAUT model, the moderating effect of task-technology fit is also significant. Moreover, individuals with different levels of task-technology fit will strengthen or weaken the relationships of determinants in the intention to use library mobile applications in university libraries”.</p>	
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Table 4: Previous research applying UTAUT

2.12.4 UTAUT considerations

Despite the strong theoretical foundation and comprehensiveness of UTAUT in analysing the acceptance of technology and in identifying the factors that influence the adoption of new technology, it has been criticized for being restricted to specific user tasks and work environments. Other acceptance models, such as TAM, have also been criticized. Straub, Keil and Brenner (1997) used TAM in a cross-cultural study with participants from the US, Switzerland and Japan. The results showed that TAM worked fairly well for Switzerland and the US but not for Japan due to cultural differences.

The individual level is highly emphasized in UTAUT as it considers individual differences that influence and determine the acceptance and adoption of technology. Another topic on which opinions are strong is the issue of generalizability, as several research studies show that UTAUT is not applicable in different cultural settings.

To conclude, cultural issues can include faculty resistance to innovation and change and a negative attitude towards technology. Therefore, there is a need to investigate these elements in many contexts. Vasconcelos et al. (2012, p. 125) state that “a key element in the Arenas/Social Worlds analytical framework are the different and conflicting discourses that give meaning to their activities”.

2.13 Social worlds model

Many groups are involved in open-access e-theses and dissertations programmes. For instance, graduate students, the university, faculty and commercial publishers each play a part. However, every group has its own aims and motivations that may conflict (Surratt, 2005, p.3). For example, graduate students seek advanced degrees, increased income and job opportunities. The university seeks a strong reputation and the opportunity to share research globally. Faculty seek research funds and wish to promote their status and that of their departments. Commercial publishers seek profits by requiring that publications and research results be placed on their sites. Conflicts could exist if the academic institution and faculty want work to be accessed publicly online and graduate students and academic advisors resist this out of fear of the technology or publisher policies and because they prefer to limit access to their work for personal reasons (Gupta, 2015). Therefore, the demands of the university and the values of academics or of the discipline culture could conflict with the fact that IRs aid the university and funding agencies more than individuals.

2.13.1 Social worlds perspective

Many scholars have employed the social worlds theory. Clarke (1991) and Fujimura (1987) use this theory to analyse how scientists create knowledge. They perceive social worlds as arenas with fuzzy boundaries where people share information, actions, commitments and resources. This is consistent with Garrety (1997), who states that social worlds theory facilitates rich and complex analysis by involving different social actors in boundary construction through representing the intersection of social worlds at sites of debates. Clarke (1991) states that social worlds theory “focuses on how individuals organize themselves and addresses how they do this in the face of others trying to organize them and/or broader structural situations in which they find themselves” (p. 135). In this situation, both conflict and approval become more visible among different social worlds and allow one to see the actors in the process (Strauss, 1982). Strauss describes a social world as a unit of collective action. The reality is assumed to be subjective from the perspective of the interpretivist approach.

Considering the perspectives of Clarke (1991) and Vasconcelos et al. (2012, p.125) in the context of open-access e-theses, emphasis must be placed on how the differences among different groups give meaning to their activities; how these settings influence the interaction

between institutional relationships/tension and the decision to adopt open-access e-theses; and how people's commitment to a social world affects their view of open-access e-theses.

2.13.2 Origins of social worlds theory

Social worlds theory is believed to have originated with Anselm Strauss, Barney Glaser and Tom Shibutani and the Chicago school, which employed symbolic interactionism. Clarke (1991, p. 131) states that a social world "aims at capturing, describing, and rendering susceptible to analysis the multiple simultaneous organized actions of individuals, groups of various sorts, and formal organizations". Vasconcelos (2007, p. 132) states that the major strength of social worlds theory "lies in the flexibility and openness that enable to capture shifts in the understanding of dynamic situations in complex organisational arenas". In terms of the social worlds concept, institutions can be seen as arenas of social worlds in which negotiated orders make up the common activities of the group members. Social worlds are built based on the members' commitment to the institutional activities and on building shared ideologies regarding the goals of their business (Glaser & Strauss, 1967; Clarke, 1991).

Social worlds "are groups with shared commitments to certain activities, sharing resources of many kinds to achieve their goals, and building shared ideologies, about how to go about their business" (Clarke 1991, p. 131 citing Strauss, 1978). Strauss sees social worlds as "universes of discourse" (Mead, 1938, p. 518 in Clarke, 1991, p. 130). Clarke (1991) defines an arena as "a field of action and interaction among a potentially wide variety of collective entities" (p. 131). Conflict in social worlds occurs as a result of differences in beliefs, thoughts and commitment to actions. The social process is proposed to be within group conflict until the data are verified. Robbins and Judge (2013, p. 480) state that "conflict is a perception"; if nobody is aware of the conflict, it means everyone accepts that no conflict exists. They define conflict as "A process that begins when one party perceives that another party has negatively affected, or is about to negatively affect, something that the first party cares about". The incompatibility of aims and the multi-views and interpretations of facts all led divergence of perspectives.

2.13.3 Social worlds theory implications

People tend to go back to relevant social worlds and partners for adoption decisions and to rely on collective meaning creation and negotiation. Regarding technology, social worlds shape and modify technology to suit their work practices. The use of technology is determined by the special context of a social world, its social construction, collective group experience, mission, policies and resources. Berger and Luckmann (1991, p. 50) consider the process of social construction as the reality of everyday life interactions.

Various studies have reviewed the differences in perceptions amongst university members and academics regarding e-theses; some are more likely proponents, and others are less enthusiastic about the notion of uploading e-theses (Greig, 2005). To gain a full picture of open-access e-theses and repositories, it is necessary investigate not only the factors affecting adoption and implementation but also how different disciplines or groups affect the intention to adopt the technology.

In their work on decision makers' risk perception in social worlds and social organizations, Douglas and Wildavsky (1982) state that attitudes about risk influence decision makers' interpretation of circumstances and settings. Existing preferences play a motivational role in individuals' and groups' actions and behaviours. Therefore, understanding these preferences can help explain the decision-making process (Schwarz & Thompson, 1990, p. 49). Norms and values also affect individuals' perceptions, shaping attitude and meaning (Ylijoki, 2000, p. 339). Considering social contexts is therefore important in recognizing the influences that might impact institutions' and individuals' decisions regarding open-access e-theses.

2.14 Rationale for selecting the models

Most of these models relating to technology adoption, acceptance and implementation have been criticized. For example, TAM has been criticized for ignoring social influences (Venkatesh et al., 2003), and DOIM has been criticized for not providing further evidence regarding how views and attitudes develop into decisions. Due to their broad applicability and their ability to explain technology acceptance and adoption, UTAUT and the social worlds model were adopted in this research to map out several potential factors that may affect the development of open-access e-theses.

The relationship between social influences and individuals' attitudes varies according to culture (Al-Awadhi & Morris, 2009; Simeonova et al., 2014; Arenas-Gaitán, Peral, & Jerónimo, 2015; Al-Qeisi, 2009). In turn, cultural aspects impact the effect of social influences on the opinions and views of individuals (Park & Jun, 2003).

2.14.1 Conceptual framework for open-access e-theses adoption at academic institutions

The proposed framework of this study is driven by factors that affect the adoption of open-access e-theses. It is based on:

- The reviewed literature, which covers a number of issues and has raised discussions around the adoption of open-access e-theses by both individuals and academic institutions in various contexts
- The extended UTAUT model by Venkatesh et al. (2012). Elements of the model are identified and combined with the research model for this study.
- The social worlds model by Strauss et al. (1964, 1981). Combined are the roles of settings and different contexts among different groups and the tensions and conflicts affecting attitudes towards the adoption of open-access e-theses. This results in shaping views about the adoption of open-access e-theses and in turn creates tension and conflicts between both sides.

2.15 Summary

This chapter examined the basic concepts relating to open-access e-theses and the scholarly community. It reviewed research studies on open-access e-theses and the main factors that influence their adoption in terms of UTAUT and the social world model. The literature review revealed that the greatest focus to date has been on the technological, infrastructure and financial challenges rather than on other important factors such as social and cultural contexts among actors and institutions. Even though a few research studies have addressed the social influences on open-access e-theses and repositories, the conflict between multiple actors in the

open-access e-theses context is still unclear and requires further investigation. Different groups perceive the issues and benefits related to open-access e-theses in terms of the process of their promotion and the acts undertaken to clarify the issues related to their adoption in the social worlds of e-theses actors.

Chapter 3: Methodology

3.1 Introduction

This chapter discusses the research methods and framework used to carry out the study. In planning any study, a researcher must consider the research design and strategy in selecting the most appropriate methods. Things such as time, procedures and geographical limitations must be taken into account.

3.2 Purpose of the research

The purpose of this study is to identify and explore the key contextual factors affecting the implementation of open-access e-theses at academic institutions. It also seeks to produce a conceptual framework for the adoption of open-access e-theses at universities based on the social worlds concept and individuals' interactions and perspectives.

Research on open access and scholarly communities has been increasing over the past two decades, particularly as relates to ETDs (McMillan, 2005; Swain, 2010; Brown & Sadler, 2010; Stanton & Liew, 2011; Barnes et al., 2012). However, vital aspects of this topic, such as the sociocultural aspects, appear to have received less attention, particularly the conflict between the demands of institutions and the values of academics, such as postgraduate research students and academic supervisors.

The methodology and data to be collected should reflect the subjective nature of the study. The challenges around conducting online questionnaires must also be carefully considered.

3.3 Research paradigm

Patton (2008, p. 423) states that “a paradigm is a worldview built on implicit assumptions, accepted definitions, comfortable habits, values defended as truth, and beliefs as reality”. Guba and Lincoln (1994, p. 107) state that a paradigm “represents a worldview that defines, for its holder, the nature of the “world,” the individual’s place in it, and the range of possible relationships to that world and its parts”.

A paradigm represents how the world is perceived by the researcher, who then selects the appropriate methodologies to obtain the desired knowledge. The way in which reality is observed in research (Creswell & Plano Clark, 2007) may also need to be reflected on in epistemological and ontological terms. “Epistemology is the branch of philosophy that deals with the underpinnings of how we know what we know, and in particular the basis for ascribing validity or “truth” to what we know” (Goldin, 1990, p. 32). Ontology “is the study of being, that is, the nature of existence. While ontology embodies understanding what is, epistemology tries to understand what it means to know” (Gray, 2013, p. 18). The qualitative and subjective nature of the present study means that it does not fall within the positivist paradigm in which researchers attempt to be objective and strictly scientific. The research was carried out using a critical constructivist and interpretivist approach that focuses on individuals’ views and opinions. It sought to discover how they understand and make sense of the world in terms of social and historical perspectives (Creswell, 2009, p. 8) in order to comprehend the effects of social and cultural structures and their associated relationships. Some researchers, such as Collier (1998), broaden their research by integrating critical and interpretive perspectives around cultural identity and communication, stressing “the role of contextual negotiation of multiple identities and relationships”. This constitutes constructivism, defined as an “ontological position which asserts that social phenomena and their meanings are continually being accomplished by social actors” (Bryman, 2012, p. 23). All this suggests that both interpretivist and critical approaches are potentially appropriate.

3.3.1 Critical paradigm

A critical paradigm focuses on oppression, power relations, conflicts and contradictions and assumes that social reality is historically constituted. It assumes that people have the ability and power to change, create or recreate their social and economic circumstances. Oates (2006) and Myers (1997, p. 241) state that the critical researcher may be faced with challenges that prevent him or her from carrying out research. Cohen et al. (2007, p. 26) describe critical paradigm as “explicitly prescriptive and normative, entailing a view of what behaviour in a social democracy should entail”.

Regarding computing, IS and library and information sciences (LIS), critical research is “concerned with identifying power relations, conflicts and contradictions, and empowering people to eliminate them as sources of alienation and domination” (Oates, 2006, p. 296). However, Klein and Myers (1999) assert that critical research in computing and IS pursues the same aims as critical research in general, namely to bring restrictive and alienating conditions to light and to be emancipatory.

A critical approach in research tries to go beyond interpretive research goals and endeavours to understand a phenomenon by analysing people’s perspectives (reality) of their world. It aims to clarify why these perspectives dominate and to challenge that reality, which is often full of conflicts and contradictions (Orlikowski & Baroudi, 1991). Therefore, the reason for taking a philosophical stance in this study is that it challenges the current situation, thereby meeting the purpose and aims of the study. Moreover, the use of interpretive philosophy offers a richer understanding of the subject from various individuals in their social setting.

3.3.2 Interpretive paradigm

An alternative philosophical paradigm is an interpretive approach. This is concerned with social processes and attempting to recognize the subjective world of human experience (Oates, 2006; Cohen et al., 2007). Orlikowski and Baroudi (1991) state that:

the aim of interpretive research is to understand how members of a social group, through their participation in social processes, enact their particular realities and endow them with meaning, and to show how these meanings, beliefs and intentions of the members help to constitute their social action (p. 13).

In contrast to the positivist approach, reality is socially constructed rather than objectively determined. Lee (1991) states that:

[the] interpretive approach [is ...] associated with ethnography, hermeneutics, phenomenology, and case studies [... whereas the] positivist approach [is ...] associated with inferential statistics, hypothesis testing, mathematical analysis, and experimental and quasi-experimental design (p. 342).

According to Oates (2006), research in IS and management requires a set of single philosophical assumptions focusing on the underlying nature of the subject being studied, the appropriate research method to be used and the nature of the valid evidence. Creswell and Plano Clark (2007, p. 27) discuss a number of perspectives on mixed methods research, concluding that such a design will determine the paradigm used and that mixed methods can be used in multiple research paradigms as long as clear and obvious explanations are stated for their use.

This study employs interpretive and critical paradigms within a constructivist belief system in order to factor in the researcher's own views, experiences, references and perceptions and to offer an in-depth analysis and understanding of the phenomenon under investigation, including not just how it came about but also why it dominates. The interpretive aspect gives rise to questions such as: 'What differences do you think there are between disciplines regarding the adoption of open-access e-theses?' and 'To what extent are you concerned about the opinions and views of other members or groups around you?'. The critical aspect is reflected in questions such as: 'In your view, how can we face these social/cultural issues?', 'Do you consider that factors such as knowledge play a role in adopting open-access e-theses in the institution? Why?' and 'What can be done to reduce the effects of these factors?'.

The interpretivist paradigm focuses more on natural settings, the differences between individuals and the "subjective meaning of social action" (Bryman, 2012, p. 16). The researcher views a social setting from the viewpoint of the studied person and social interaction (Neuman, 2011, p. 101), involving "reflective assessment of the reconstructed impressions of the world [...] constituting a new unit" (Sarantakos, 2012, p. 40). The importance of identifying these things is to provide the researcher with a paradigm or strategy that will be used to carry out the research. In this study, reality is viewed as multiple and socially constructed, as knowledge is not the same from various loci and is determined and built upon by capturing people's interpretation of reality. Therefore, the perspective of interpretivism and constructivism was chosen for this research. It is believed that the adoption of open-access e-theses can only be interpreted by the participants themselves, which forms an interpretivism perspective. However, because the whole picture of the phenomenon cannot be obtained using qualitative methods alone, in order to provide more detailed comparative results the research also employed a quantitative survey, balancing the strengths and weaknesses of both methods and thereby allowing more robust analysis.

Interpretive and critical paradigms both build on the social reality that people construct and re-construct. Despite this similarity, the critical paradigm not only places a focus on subjectivity but also encourages objective perspectives that tend to control experiences and perceptions, taking into consideration diverse challenges such as social, cultural and political dominance (Myers & Avison, 1997; Oates, 2006, p. 296). Critical researchers believe that people can work intensively to change their economic and social situations. In addition, they also recognize that several factors such as social forms, political and cultural dominions, resource limitations and natural laws control people's ability to improve their conditions (Myers, 1997; Klein & Myers, 1999, p. 69). Orlikowski and Baroudi (1991) state that the use of critical research is very limited in the field of IS research, outlining the critical approach as a method in which idiographic and nomothetic approaches are combined in critical social science. Falconer and Mackay (1999, p. 292) state that:

The nomothetic approach to research emphasises systematic protocols and techniques incorporating hypothesis testing and quantitative techniques for the analysis of data. The idiographic approach is based on a belief that one can only understand the social world by obtaining first-hand knowledge of the subject being investigated. This method emphasises the analysis of subjective accounts of situations.

The purpose of the present investigation is to help identify the key contextual factors affecting the adoption of open-access e-theses, particularly the social and cultural issues that pertain in academic institutions in Kuwait and the UK. The research is primarily qualitative, using semi-structured face-to-face and telephone interviews. However, an online quantitative survey is also included to develop an understanding of and produce a picture of the situation.

Qualitative research is variously described in the literature but can be considered as being of two main types, interpretive and critical. The interpretive paradigm relates mainly to creating meaning because it emphasizes explanations and descriptions of people's sense-making experiences, whereas the critical approach aims to bring about a change in the status quo by working interactively to increase socio-cultural awareness.

3.4 Mixed methods research

Ivankova, Creswell, and Stick (2006, p. 3) define a mixed method approach as “a procedure for collecting, analysing, and “mixing” or integrating both quantitative and qualitative data at some stage of the research process within a single study for the purpose of gaining a better understanding of the research problem”. Denscombe (2008, p. 274) states that mixed methods are more commonly used, especially in social research, and that “the mixed methods approach can be seen as offering a third paradigm for social research through the way it combines quantitative and qualitative methodologies on the basis of pragmatism and the practice-driven need to mix methods”. Denscombe also thinks that mixed methods research should have its own solid philosophical foundation, in order to “accommodate the variety of ways in which mixed methods are used and the variety of motives researchers might have for adopting a mixed methods approach” (p. 278).

As mentioned, the reason for selecting a mixed methods design is that a complete picture of a phenomenon or state of affairs cannot be gained by either quantitative or qualitative research methods alone. The complementarity between quantitative and qualitative methods allows more robust analysis.

- Every study has its strengths and weaknesses, but mixed methods tend to limit or redress any weakness or bias.
- By using a variety of methods to explore a particular topic, the researcher can increase confidence in the accuracy of the results (Denscombe, 2007).
- The mixed methods approach has the advantage of moving the analysis forward by using one method to inform the other. This is known as triangulation of data (Bryman, 2012), which enables cross-checking and thus helps to assure the validity and reliability of the study and its conclusions.

There are a number of mixed methods designs (Ivankova et al., 2006, p. 4). Creswell (2003) has picked out six that are often used by researchers, three sequential (one after another) and three concurrent (at the same time) designs. Creswell and Plano Clark (2007, p. 83) state that there are some issues to be considered and decisions to be made before selecting a study design, as follows:

- Timing, when data is obtained and the order of the collection
- The weighting of the two methods
- How the two methods and the data from them will be combined and connected to each other

As per Creswell (2009, p. 14), this study employs a sequential design to develop and present the results of both methods in rich detail. The first stage of the research involved the gathering and analysis of quantitative data, after which the qualitative data was collected and analysed, building on the preliminary findings from the first stage.

In terms of evaluating mixed methods research, the researcher should consider the issue of validity, namely whether the study measures what it set out to measure and is logically and factually sound (Creswell & Plano Clark, 2007, pp. 145–149). Creswell and Plano Clark offer some recommendations in that regard:

- Validity has to be assessed for each method on its own.
- Any possible threats to validity should be discussed during data gathering and analysis.
- Reviewing validity from the mixed methods perspective assesses “the ability of the researcher to draw meaningful and accurate conclusions from all of the data in the study”.
- More meaningful information outcomes are achieved when “the qualitative second phase builds on significant predictors, rather than on simple group comparisons”.

3.5 Mixed methods criticisms

Mixed methods studies have been the subject of some criticism. As Doyle, Brady, and Byrne (2009, p. 183) observe, “Although it is clear that a mixed methods approach has much to offer a researcher, there have been criticisms of its use”. Many of these criticisms focus on incompatibility, that is, the belief that quantitative and qualitative research methods cannot be mixed in a single study, as they have such different ontological and epistemological origins. Methodological purists believe in the separation of research methods and worldviews and hence argue against combining quantitative and qualitative methods. However, Tashakkori and Teddlie (2003; cited in Creswell & Plano Clark, 2007, p. 23) suggest that “mixed methods research designs will be the dominant methodological tools in the social and behavioral

sciences during the 21st century”. By contrast, Howe (1988) argues against the incompatibility theory and instead suggests that “researchers should adopt a pragmatic approach and forge ahead with what works”. Researchers should place more emphasis on designing studies that best suit their topic, rather than on what types of methods should be used. Denscombe (2007) points out a potential further disadvantage of mixed methods research, namely that sometimes the results of one method cannot be confirmed or verified by the other.

Mixed methods require more time and cost than single methods. Furthermore, researchers may need to develop skills in using multiple methods (Bryman, 2012). The present research demanded more time than a single-method study for collecting data. It also cost more, as it was conducted in two different countries (two cases in Kuwait and seven in the UK). Therefore, it was thought that using an online survey as well as face-to-face or phone interviews would minimize these disadvantages. Because gaining access to multiple institutions can be a major barrier when the research requires surveying a range of people in different geographical locations, the method known as grounded theory would have been very difficult in this situation. In grounded theory, the collection and analysis of data are part of the process, and further case studies are developed based on that data.

3.6 Methods adopted

The choice of qualitative or quantitative approaches in social research has been much discussed in the literature, along with their features and characteristics (Blaxter, Hughes, & Tight, 2001, p. 60). Qualitative research mainly emphasizes behaviours and words and is concerned with meaning ‘materials’ rather than measuring or counting, whereas quantitative research is usually concerned with measurement ‘data’ (Light, 2003). Therefore, Becker (1996, p. 55) states that “the two sorts of methods typically raise somewhat different questions at the level of data, on the way to generalizations about social life”.

Bryman (2012, p. 35) and Oates (2006, p. 283) state that qualitative and quantitative research can be used to shape two different clusters of research strategy. These methods are often connected to their epistemological bases, associating positivism with quantitative and interpretivism with qualitative research, but the connection is usually more fluid. Bryman also states that a quantitative strategy is based on a deductive approach focusing on theory testing

and an objectivist position. Qualitative studies, on the other hand, are inductive, and theories develop as a result of the research from constructivist and interpretivist perspectives.

3.6.1 Qualitative and quantitative research considerations

Numerous terms are used to refer to the research method, including ‘research approach’ (Creswell, 2009; Galliers, 1992), ‘research methods’ (Becker, 1996), ‘research strategy’ (Oates, 2006; Bryman, 2012) and ‘methodology’ (Cornford & Smithson, 1996; Denscombe, 2008). Creswell and Clark (2007, p. 177) state that the quantitative approach yields close-ended data by exploring variables such as attitude and performance, whereas the qualitative approach yields open-ended information usually obtained from interviews, observations, focus groups and the like. The role of the researcher differs in these two methods. In qualitative research, the researcher is part of the data gathering and analysis process, and his or her own opinions or experiences may affect the process. Therefore, continuous reflection is called for to trace and report any biases. In quantitative research, the researcher collects objective data, often involving statistics and measurements, while standing apart from the participants. Brannen (2007) states that “on the one hand, qualitative approaches embrace even greater reflexivity, but, quantitative research adopts ever more complex statistical techniques”. Both strategies have to be considered as widely complementary “though not necessarily as compatible” (p. 282).

Both approaches involve the same steps in the research process, the difference being in the methods utilized. For example, some researchers start their data collection using a qualitative method, obtaining information from a small number of participants, usually in their own environment. In contrast, statistical data can be obtained distantly from a large number of participants. Bryman (2012, p. 409) notes several similarities between qualitative and quantitative research; both seek to:

- answer the research questions;
- reduce the data involved;
- link the data with the literature on the topic;
- be transparent;
- use suitable methods for the purpose.

Creswell (2009, p. 3) states that “Mixed methods research resides in the middle of this continuum because it incorporates elements of both qualitative and quantitative approaches.

According to Silverman (2005, p. 112), there are no right or wrong approaches, “only methods that are appropriate to your research topic”. Benbasat (1984) notes that selecting a research approach relies on various factors, such as the nature of the topic, the time available for conducting the research and costs.

3.6.2 Reliability and validity

Several criteria are used to assess the value and trustworthiness of research, notably reliability, validity and replicability (Selltiz et al., 1976). Reliability refers to the consistency or stability of a measure, that is, whether the findings can be repeated or not (Kelliher, 2005). Validity is the extent to which they correspond to the ‘true’ position of the person or the object being measured. Replicability is the extent to which the research could be replicated or reproduced by another researcher or in another study and achieve similar results. Methods should always be clearly described. Guba and Lincoln (1994) state that qualitative research should be evaluated based on the criterion of trustworthiness to ensure the rigour of the findings. These criteria are similar to those by which quantitative research is assessed and are as follows:

- Credibility – the degree of confidence in the results and the extent to which they represent or are confirmed by the participants (internal validity)
- Transferability – whether the results can be transferred to other contexts with other respondents, often known as generalizability (external validity)
- Dependability – “the stability of findings over time” (Bitsch, 2005, p. 86), showing the process by which the data were collected and coded (reliability)
- Confirmability – the quality of being objective, which is related to researcher judgment and bias.

As mentioned above, triangulation is a means of assuring credibility, particularly in qualitative research, where the researcher is part of the group or situation studied, or in studies with findings that would be difficult to verify at another time or in another situation. It is therefore essential for the researcher to record the population, the status of the case and the process in

considerable detail, to increase the generalizability of the study. This information can be evaluated by peers or, if necessary, by assessors (Bryman, 2012, p. 393). Confirmability depends on the researcher maintaining objectivity and not letting his or her personal feelings or biases impact the research or the findings.

Confirmability and dependability also rely on a rich account of information, details and thoughtful writing about the outcomes of the study. According to Creswell (2009, p. 192), reflectivity is an essential feature of qualitative research. A study may prove to be reliable and valid, reliable but not valid or neither valid nor reliable. Therefore, in the interests of ensuring that the study is both valid and reliable, it is important to measure any errors in the research instruments and the data they produce (Sproull, 1995) and to provide certainty of evidence from all such instruments, as well as indicating their degree of accuracy and consistency.

3.6.3 Piloting

When interviews are being used in a qualitative study, a pilot study helps to determine the validity and reliability of the questions for interviewees. Adams and Cox (2008) state that identifying possible difficulties is vital before starting full-scale research. An initial small pilot study tests whether respondents understand the questions. Sridhar (1995, p. 18) states that a pilot study

helps in estimating time required, detecting flaws, weaknesses and ambiguities, using pre-formulated questions and/or responses (instead of open-ended questions), knowing in advance the kind of data likely to result, the kind of analysis required, expertise available for analysis, computer facilities required, estimating the resources required and finally gaining access to and cooperation of respondents.

In the present case, before the main study was conducted, several participants from each of four groups (librarians, postgraduate directors, postgraduate research students and academic staff) took part in a pilot study to assess the questions and methods. The participants' recommendations and feedback from the pilot questionnaire and interviews informed the actual study, for example by highlighting any questions the participants failed to understand or answer properly. The validity and reliability of the actual study was enhanced by this process and by increasing the number of interviewees and survey participants. Two members from each group

were asked to take a survey and be interviewed. The interview was conducted at the convenience of the participants, as they were based in several different locations. The participants had the option to be interviewed over the telephone or using an application such as Skype. Questionnaires were administered online via the Internet.

3.6.4 Research methods adopted

The methods used in the present research were selected for their usefulness to meet the research purpose and questions. The study was conducted using an interpretive, critical and constructivist approach.

The reasons for using a mixed methods approach are as follows:

- To facilitate sampling with a view to compensating for any biases that might occur in a single method
- To improve accuracy to increase confidence in the results (Denscombe, 2007)
- To achieve as complete an understanding of the subject as possible.

The first stage of data collection and analysis (quantitative approach) was used to inform the second phase (qualitative approach), revealing any unexpected findings and aiding in the interpretation of data. This will be discussed in detail in the next section. The selected research strategies helped to minimize the limitations of each approach, such as a lack of information from the quantitative survey or the sample size in the interviews. The literature was also reviewed to discover what earlier research revealed with regard to perceptions and attitudes in academic institutions towards ETDs and to identify any gaps in the current knowledge on the topic. This is discussed in the second chapter of this thesis. Data was collected via online questionnaires, followed by in-person and telephone (or Skype) interviews.

3.6.4.1 Explanatory sequential design

The sequential approach is one of six mixed methods designs frequently used by researchers (Creswell, 2003). Ivankova et al. (2006, p. 5) state that collecting quantitative data and then analysing the results will provide a general understanding of the research issue, after which the

qualitative data will help refine and explain the data and outcomes by exploring participants' views in more depth.

There are two variants of sequential explanatory design, one focusing on the outcomes that are to be examined in more detail (follow-up explanation model) and the other focusing on the appropriate choice of participants (participant selection model). Both start with a quantitative approach and go on to use a qualitative approach. The follow-up model is employed when a researcher requires qualitative data to expand on quantitative results (Creswell & Plano Clark, 2007). In this design, the researcher identifies particular quantitative results that need additional explanation, for example statistical variances between groups or unanticipated results. The researcher then obtains qualitative data from participants "who can best help explain these findings" (Creswell & Plano Clark, 2007). In contrast, the participant selection model is employed when a researcher demands quantitative data and purposefully picks participants for a follow-up in-depth qualitative study. In this model, the focus of the study "is usually on the second, qualitative phase" (Creswell & Plano Clark, 2007, p. 74).

The present study aims to provide an in-depth analysis of the factors impacting the adoption of open-access e-theses, the difficulties and experiences in academic institutions as perceived by diverse groups of key actors in light of UTAUT and the social worlds perspective, the way in which certain events happen and the tensions resulting from the interaction of different groups. Accordingly, a model/framework was developed and the factors involved outlined. This research is explanatory in nature and used a *participant selection model*.

The sequential explanatory design is divided into three stages (Creswell & Plano Clark, 2007). The first stage is concerned with analysing the initial quantitative data, and the second stage considers which information is useful and significant and will therefore inform the transition to the next level. The last stage involves obtaining and analysing the data for the qualitative part of this research. The rationale for this approach is that the quantitative data and their subsequent analysis provide a general understanding of the research problem. The qualitative data and their analysis help refine and explain the statistical results by exploring participants' views in more depth (Ivankova et al., 2006, p. 5). Yin (2009) states that the use of multiple data collection methods provides a clearer image of events than the use of any single method.

The following (Figure 2) illustrates the sequential explanatory model by Creswell and Plano Clark (2007):

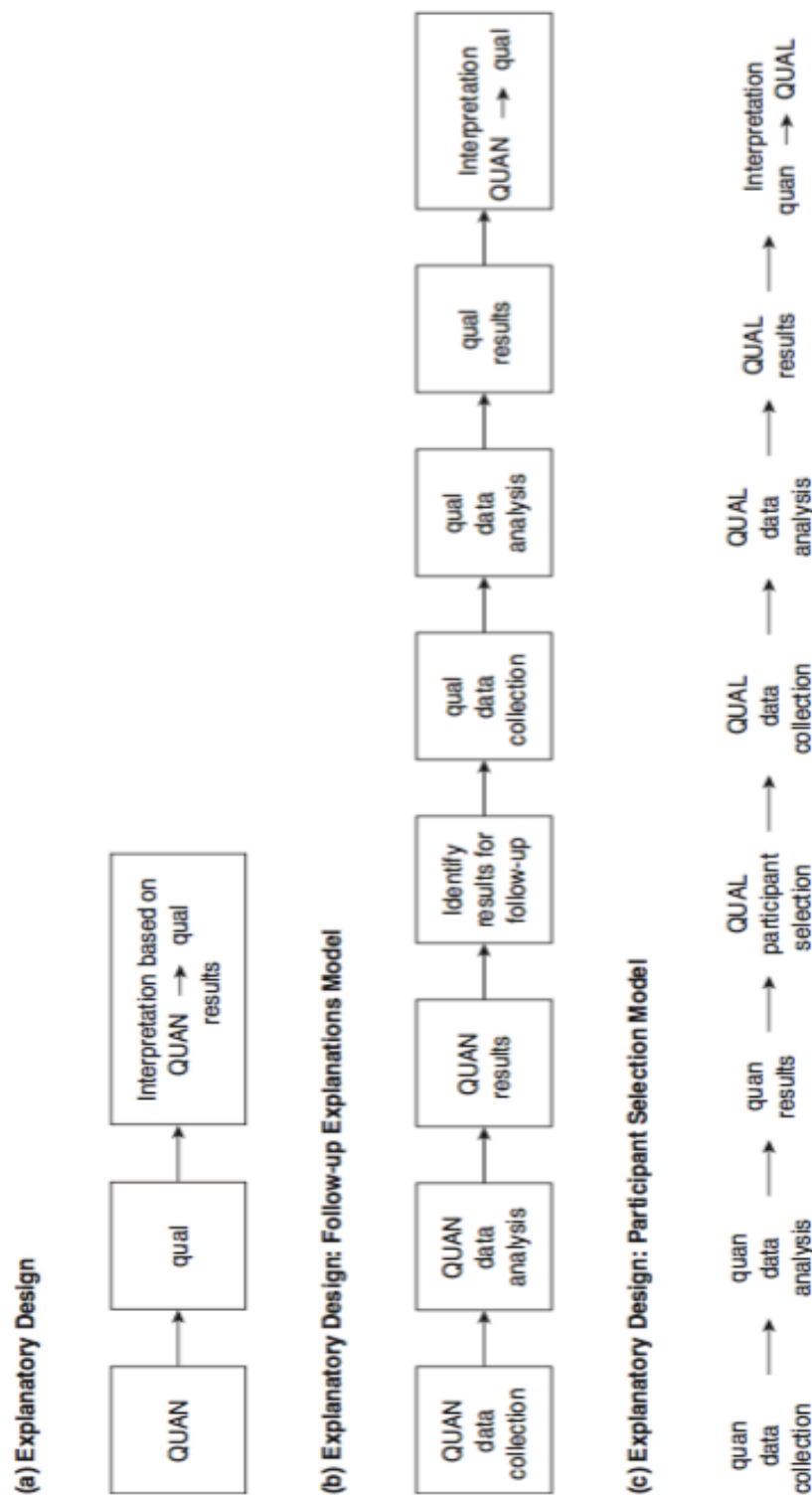


Figure 4.3 The Explanatory Design

Figure 2: The sequential explanatory model by Creswell and Plano Clark (2007)

3.6.4.2 *Priority of chosen methods*

The researcher may give more weight or attention to the qualitative or the quantitative data collection and analysis (Ivankova et al., 2006, p. 9; Morgan, 1998; Creswell, 2003). The decision as to which to prioritize may be difficult, possibly depending on the researcher's interests, the audience for the study "and/or what a researcher seeks to emphasize in this study [...] depending on the study goals, the scope of quantitative and qualitative research questions, and the particular design of each phase" (Morgan, 1998, cited in Ivankova et al., 2006, p. 9). The priority of the present research was the qualitative angle; the quantitative element helped provide direction for the qualitative data collection, establish preliminary results to pursue in depth and guide purposive sampling and participant selection. A similar scenario would be a survey of different managerial levels of an IT-intensive site preliminary to more extensive stratified data collection.

3.7 Data collection

The choice of data collection tools arises out of the research design selected to achieve the research aim. The first phase (quantitative survey questionnaire) in the present study was conducted using online web-based survey services. The second phase (qualitative interviews) was conducted face-to-face and via telephone. The participants in this study were drawn from four groups of people: library administrators, postgraduate directors and managers, academic staff (who advise and teach postgraduate research students) and postgraduate research students. Library administrators were chosen based on the expectation that they would provide invaluable data thanks to their work roles and their awareness and experience of issues around the topic. Postgraduate research students were chosen because they are central to the research topic as producers of theses and dissertations. Academic staff were included because their roles as supervisors of PhD and Master students make them part of the adoption process. Postgraduate directors and managers were selected because they are involved in budgetary and financial matters in the institution and thus in the adoption of open-access e-theses. Various data collection methods can be utilized in qualitative and quantitative research, such as surveys, interviews, focus groups, observation and content analysis (Bryman, 2012). However, it was thought that interviews and an online survey would be the most appropriate methods for this research because the participants are based in different locations. Using focus groups or observation methods would be difficult and would require more time and money.

3.7.1 Questionnaire (survey)

A questionnaire is a method of data collection in which each respondent is asked to answer the same set of questions in a predetermined order (Lewis et al., 2009). The questions are carefully structured and chosen after considerable testing, with a view to eliciting responses from a chosen sample (Collis & Hussey, 2009).

The purpose of the online survey was to select participants for the second phase of the research (the interviews). The first phase of the research, the questionnaire, represents a participant selection model based on a sequential explanatory design (Creswell & Plano Clark, 2007, p. 73) and focused on the appropriate choice of the participants. The online survey provided data that facilitated the purposeful selection of participants for face-to-face and phone interviews. The resulting quantitative data were analysed and used to select participants for the qualitative phase (the interview).

The online survey was considered the most appropriate method for this research because the participants were based in different locations, as Mixed method requiring more time for collecting data than a single-method study. Gaining access to multiple institutions can also be a major barrier when surveying a range of people in different geographical locations. It also costs more, as it was conducted in two different countries (two cases in Kuwait and seven in the United Kingdom (UK)); meanwhile, online surveys cost little and are not excessively time-consuming. Therefore, an online survey was selected to minimize these disadvantages.

The aim is to find out what a selected group of participants do, think or feel. To ensure a high response rate, an online questionnaire was used in this study to collect different types of data from the study sample. The electronic questionnaire was designed using the electronic survey online instrument Google Forms. A Google Forms survey was used for the following reasons: (i) the software is free and an unlimited number of people can participate, (ii) it is mobile friendly, so people can use mobile phone browsers to send their responses, (iii) the automatic collection of data in a Microsoft Excel spreadsheet makes it easier for the researcher to analyse data (it also supports logic branching), (iv) there is an option that allows one response from each participant and (v) email notification is given when participants have completed the survey. Data collected with Google Forms was stored safely on a spreadsheet or in the forms

and was then downloaded as a .csv file to the researcher's Google Drive account, access to which was by password only.

The questionnaire URL was distributed by email that included a link to a website, the emails of the sample participants having been obtained from university websites and by contacting academic departments. If the one-response option was used, respondents were asked to sign in to their emails to view and fill out a form; a message then appeared at the top of the page explaining which data will be collected. The purpose of the questionnaire survey is to investigate the most important elements in the research, for example, whether participants believe that open-access e-theses will have an impact on research activity. These data complement the information from the qualitative interviews.

There are several reasons for using an electronic survey in the initial phase of data gathering. Because the research topic concerns open-access e-theses and new modes of accessing resources, it seems reasonable to obtain quantitative data through the Internet. It also makes it possible to get large numbers of responses, which is important in ensuring the survey outcomes are representative and the information can be generalized. Sampling techniques were explored and the convenience sampling method chosen for its appropriateness for a study with different groups of people in different locations and because of time and cost issues. Snowball sampling through acquaintances and willing volunteers (colleagues) was also used. The participants were asked to share the link to the survey in an attempt to encourage a snowball result. Convenience sampling is one of the main types of non-probability sampling methods that includes "simply available to the researcher by virtue of its accessibility" (Bryman, 2012, p. 201).

The rationale for using mixed methods is to better understand the topic based on respondents' lived experiences and views. Bryman (2012) gives four advantages of using online self-completion questionnaires, as follows:

- They are more economical in terms of time and money.
- They can reach a large number of people very easily.
- Distance is no problem, as the research participants have only to have access to a computer.
- Data can be collected and collated very quickly.

Bryman (2012, p. 234) discusses some concerns regarding the use of electronic questionnaires, such as multiple replies and duplication, and software issues on the survey host website that can affect the rate of participation. The Google Forms survey provides the option to limit

multiple responses and allow each participant to answer the survey questions only once through the link provided. A reminder was sent to all participants by email two weeks after the initial contact. Bryman recommends stating at the beginning that the survey takes only a short time (p. 675); this encourages participants to start taking the survey and discourages them from abandoning it in the middle of a series of open questions. In addition, the design and arrangement of themes is important, as it has been found that participants prefer questions to be grouped in sets of themes because it makes the survey easier to follow. Therefore, the questionnaire was designed in such a way as to look clean and well organized. The design of the questionnaire, particularly the wording and sequence of the questions, has a great effect on the quality of the data obtained (Oppenheim, 2000).

For this reason, the survey went through several iterations to ensure it is acceptable and understandable. This included attaching information to the questionnaire, determining the types of questions, refining the forms of questions, adjusting the sequence of questions and being mindful of the length of questions, as well as explaining difficult terms. The questions were tested with a small sample to gain feedback, which helped improve the questionnaire.

3.7.1.1 Forms of questions

Different types of questions were asked in the survey. Both closed and open questions were used. Care was taken to try to ensure that participants found the questions easy to understand and well laid out and that they would answer all the questions without taking too much time. Online surveys cost little and are not excessively time-consuming. However, it has been argued that it is difficult to know who is responding to the survey and if they actually represent the sample (Bryman, 2012, p. 235). Obviously, the participants must also be computer literate (Bryman, 2012, p. 233). In addition, online surveys do not permit the use of many open questions. A further issue is that a participant who needs help or clarification of any questions will not have the chance to do that. List and category questions were the type of questions used.

3.7.2 The interview

Bryman (2012, p. 469) states that “The interview is probably the most widely employed method in qualitative research”. Collis and Hussey (2009) state that interviews have the ability to

clarify and permit the asking of more complex and follow-up questions, which is not possible with a written questionnaire. Seeking deep understanding of individuals' behaviour, the social norms of a particular group or institution or social phenomena requires a flexible and probing method of data collection, which interviews can provide. Oates (2006, p. 187) lists three types of interviews, as follows:

- **Structured interviews**: use standard questions for all interviewees, and the interviewer cannot veer from those questions, which have been set previously.
- **Semi-structured interviews**: require the interviewer to make lists of questions, the answers to which will provide the desired information. This type of interview is flexible for both interviewer and interviewee.
- **Unstructured interviews**: allow the interviewer to give the interviewees unlimited opportunity to speak about the topic and let them develop their ideas without interruption.

In this study, the semi-structured open-ended type of interview was used for the following reasons:

- It allows the respondent a high level of flexibility and freedom.
- It allows interviewees to respond in their own words.
- It allows the subject of interest to be covered.
- It allows questions to be formed and asked in an order that seems to arise naturally from the context (Stone et al., 1984).

A semi-structured interview was considered appropriate for this study because particular themes and areas of interest were already identified from the literature review and from the quantitative first phase of the study.

Semi-structured interviews combine the advantages of structured and unstructured interviews. The researchers in this type of interview have a list of themes and questions to be covered; however, these themes may vary from one interview to another. This means that the interviewer may ignore some questions in particular interviews, depending on what answers he receives to

other questions. In addition, the order of questions may be changed, depending on the flow of the conversation with the participant. However, Phellas et al. (2011) identify two potential problems with semi-structured interviews, as follows:

- The cost associated with face-to-face interviews can limit the size and geographical coverage of the survey.
- Interviewers can introduce bias, which will affect the reliability of responses. Such bias might emerge due to the way in which questions are asked or due to the personal characteristics of the interviewer or due to the respondents' wish to give socially desirable responses.

In this study, the researcher used in-depth, one-to-one, semi-structured interviews with a purposive sample drawn from the first phase (survey) and the groups mentioned above, chosen because their roles involve making decisions about open-access e-theses processes, which is the topic of this research. The UTAUT and social worlds perspectives (see the literature review) were used to refine or establish a final model. In the first phase of the study, potential participants were contacted by email to invite them to take part in the study; they were selected from the list of contacts of university departments. These participants were then interviewed if willing to participate in the second part of the research. "Selecting those times, settings, and individuals that can provide you with the information that you need to answer your research questions is the most important consideration in qualitative selection decisions" (Maxwell, 2013, p. 144).

It was decided to conduct the interviews in person and by telephone or over the Internet using services such as Skype if the researcher was unable to meet the interviewee in person. However, face-to-face interviews are preferred, as this method provides the opportunity to get direct impressions from body language, which can aid the researcher in guiding the discussion and obtaining more detailed answers from participants. They also make the discussion more interactive and mutual (Rapley, 2007, p. 19). Personal interviews could raise concerns about potential risks to the researcher and the participants; therefore, it is vital that the researcher ensure a safe location and that other safety issues are dealt with appropriately. As most of the interviews were held at the participants' institutions, the location was not be an inhibitory factor. The interviews were recorded and transcribed immediately afterwards. Recording of the interviews ensures that the words are accurately reported and also allows the interviewer to

listen fully to the interviewee and concentrate on guiding the interview. However, recording may not work well if there is a high level of noise or if there are technical problems (such as a battery running out). Moreover, transcription and analysis of the data are very time-consuming (Bryman, 2012, p. 469). Nonetheless, it is felt that the advantages of recording the interviews outweigh the drawbacks.

3.7.2.1 Reliability and validity of the interview data

As discussed earlier, reliability means the consistency or stability of a measure, whether the findings can be repeated and similar results can be achieved (Kelliher, 2005). Validity is the extent to which the findings correspond to the true position of the person or the object being measured. These are important issues to be considered when conducting interviews. Oppenheim (2000) states that many researchers prefer to use interviews because they feel it is more valid in some sense, as the attendance and the interaction of the interviewer with the participant make the data seem reliable and valid. One aspect of reliability is verification of the method by which a particular person came to be chosen for the sample and why it was more important for this person to take part than for another.

The subject of reliability is discussed by Lewis et al. (2009), along with issues such as bias, generalizability and validity. They state that questionable reliability may arise due to the lack of standardization. Interviewer bias can occur when the interviewer makes comments or exhibits behaviour that leads the interviewee to respond in a certain way. In addition, bias could arise due to the nature of the participants who agree to be interviewed.

Validity and generalizability concerns were limited in this research because the use of mixed methods provided a large number of responses, thus representing the whole population. Additionally, the researcher attempted to interview participants from a variety of academic disciplines and use their own statements to support the findings. The following steps were taken to deal with these issues:

- A list of questions that included all required data to be collected was prepared.
- Ideas were generated and organized using mind mapping.
- The questions were reformulated and refined as necessary.

- A pilot study was performed to test the interview questions.
- The focus was on open-ended questions to let the participants talk comfortably about any issue.

The researcher considered how well the research aim was explained to all interviewees and ensured that they all understood it. In addition, each participant signed a letter of consent to take part in the research. Participants were assured that their information will be kept confidential. The researcher had the option of using phone apps for audio recording and digital audio recorders with the permission of the interviewees. Finally, the process of transcribing and storing data in organized files for each individual was completed in order to analyse the information for the next stage. The transcriptions were double-checked to eliminate errors.

3.8 Data analysis

Analysing data means giving meaning to data (Corbin & Strauss, 2008, p. 64). In mixed methods research, the researcher should be capable of understanding both qualitative and quantitative data so as to be able to perform the analysis of both. This naturally takes more time than research that employs a single method.

Before starting the coding, the researcher prepared and organized the data by transcribing the interviews and by translating interviews conducted at Kuwaiti institutions from Arabic to English to make them effective and accessible and ready for analysis. Miles et al. (2013, p. 71) states that “A write-up is an intelligible product for anyone, not just for the field worker. It can be read, edited for accuracy, commented on, coded and analysed using several methods”.

Iterative thematic coding was applied in the process of analysing the qualitative data (discussed in greater detail in section 3.8.3). MAXQDA software was used to analyse and code transcripts. In the beginning, priori codes were developed from the research theoretical framework as well as the research objectives, further inductive codes were identified during the process of examining and analysing the interview data. the researcher took notes on initial ideas before starting coding. The researcher then created codes, organized them into a hierarchical structure and labelled relevant words and sentences within concepts and opinions. Next, relationships between categories were determined. Finally, the text in every node was discussed and the outcomes presented. After all the interviews were transcribed, every interview was coded separately. Each transcript was read and reread by the researcher. Based on these reviews, notes

were taken in relation to participants' perceptions regarding factors that may affect the implementation of open-access e-theses in academic institutions. Codes were assigned to related perceptions after similar perceptions were noted from the participant interviews. Related concepts were then linked in a relevant sub-category. The researcher had to clean and standardize some data from some of the questions in the online survey, particularly questions **Q10** about the disciplines and **Q14** about the respondents' position, to facilitate the analysis and to avoid having a drop-down box and a long checklist. Answers were modified as necessary to standardize writing and spelling, for example PhD candidate, PostDoctoral and PhD researchers.

3.8.1 Quantitative data analysis

To identify participants for the next phase, obtain rich data and discover important issues, the researcher used a quantitative research strategy in phase one. This ensured that the research findings would be robust and increased the possibility of generalizing the findings.

The quantitative data was analysed using the Statistical Package for the Social Sciences (SPSS), analysis of variance and descriptive analysis, methods widely used in the social sciences to provide descriptive and predictive statistics. The license for the package was extended to Aberystwyth University postgraduate research students; therefore, no extra costs were involved. SPSS analyses questionnaire data efficiently and effectively. Each question in the questionnaire was added and coded to this programme, which converted the data into percentages, diagrams, pie charts, tables and other statistical findings. SPSS and Google Forms make it easy to conduct, manage and analyse research and help the researcher by saving time. Data and questions from the survey were interpreted and illustrated by sorting them into categories. This analytical structure makes for easier reader comprehension and presentation of the analysed data in an attractive and appealing form. The Google Forms online survey allows data to be transferred and automatically collected in an Excel spreadsheet that can be used in Microsoft Excel and then exported to SPSS.

3.8.2 Qualitative data analysis

There are two principal methods of analysing qualitative research data—transcription and coding. Bryman (2012, p. 565) states that, “unlike quantitative data analysis, clear-cut rules about how qualitative data analysis should be carried out have not been developed”. Many resources for coding and transcribing text can be used as a guide, such the work of Miles and Huberman (1994) or Corbin and Strauss (2008). Here, clean transcripts were made based on digital recordings, including all and repeated words relevant to the research questions and aim raised by participants (Silverman, 2010, p. 200).

Issues may arise in the process of coding, such as “the possible problem of losing the context of what is said” (Bryman, 2012, p. 565). Misunderstandings may therefore arise if particular words or phrases are plucked out of the interviews without the surrounding text or context. Fragmentation of data is another possible issue that can cause the narrative flow of the

discussion to be lost. The thematic coding strategy was refined as more interviews were conducted and analysed.

3.8.3 Coding the transcripts

Once ethical approval was received, a pilot study was conducted and a report on the pilot study was sent to the supervisory team. The aim of this pilot study is to check the suitability of the interview questions and the approaches, as well as the appropriateness of the documents gathered. The interviews in the pilot study were digitally recorded as well as noted by the researcher, as mentioned earlier. The interviews were carried out face-to-face and by phone. For participants uncomfortable with audio recording, the researcher took written notes of the interviews. This technique provides back-up data in case there are problems with the digital recording (Creswell, 2003).

Each interview was coded after transcribing. The researcher reviewed the transcripts by carefully reading them and highlighting the participants' perceptions regarding the adoption of open-access e-theses. This was followed by integrating related perceptions from other participants and allocating a code, and then relevant ideas or codes were collected under sub-coding. The researcher used MAXQDA to manage and organize these concepts with their sub-categories. Finally, the interviews were reviewed and integrated with the research objectives and validated by the related documents collected. The interviews were reported and used as evidence for the research report.

Coding as a data analysis process is a strategy used to retrieve and create categories from field notes, such as interviews, direct observations and questionnaires, and then transcribe and place them into systematic patterns (Yin, 1994, p. 102). Bryman (2012, p. 568) states that this "entails reviewing transcripts and/or field notes and giving labels (names) to component parts that seem to be of potential theoretical significance and/or that appear to be particularly salient within the social worlds of those being studied". It is an essential element of qualitative data analysis. In this research, pre-set or a priori codes and emergent codes were used in data collection. A priori codes are initial codes derived from the conceptual framework and research objectives, such as barriers to adoption, policy issues and social conflict. Emergent or inductive codes are codes that emerge from analysing the data, such as concepts, meanings and ideas. In this research, the qualitative data was analysed manually in the case of Kuwaiti academic institutions because

some of the transcripts were in Arabic and the findings were translated into English. Two of the research sites are in Kuwait, where the official language is Arabic, and it was assumed that some of the participants are non-English speakers. Therefore, the interview and questionnaire were written in both English and Arabic, giving participants the option of selecting the language they are more comfortable with. The researcher then put the codes into the MAXQDA qualitative data analysis software.

Similar themes from different phrases and narratives were grouped together into categories, known as thematic analysis. A priori codes were based on the theoretical framework and the research questions; for example, the code ‘benefits of using’ and the sub-codes ‘place saving’ and ‘easier to use’ are linked to UTAUT, while the code ‘social pursuit’ and the sub-code ‘persuasive influence’ are related to the social worlds concept. Further codes emerged in the data analysis of the interviews, as not all interviewees were asked the same questions. Questions appropriate for each interviewee were selected based on their positions and roles. Therefore, it will have been difficult to make a complete coding scheme in advance. In the initial stages, the researcher started to develop and structure themes based on UTAUT, the social worlds concept and the literature review. Issues were then be identified and gathered into broader themes.

3.8.4 The pilot study

Prior to conducting the pilot study, ethical approval was obtained from Aberystwyth University on 20 July 2016. The interview guideline was reviewed by the supervisory team. The consent letter was attached with the email sent to invite participants to take part in the research. The email included a brief message regarding the purpose and aim of the research and other important information, such as the researcher’s contact information, to encourage participants to take part and to provide them with all required information. Davies (2007) states that more confidence in the research methods will be felt by the researcher after conducting the pilot study. In this study, the pilot study was conducted at two sites, Aberystwyth University in the UK and PAAET in Kuwait, in August 2016. A total of 24 participants completed the online survey and six took part in the interviews. The interviews were digitally recorded with the interviewee’s permission, and the questions were answered without any difficulty. As mentioned, a consent letter was attached with the invitation email, and the research objectives and details were explained to the interviewees before starting. Some interviews were conducted

via telephone and electronic communication applications and other were conducted face-to-face. The interview locations were chosen by the interviewees. This was followed by an initial transcribing and analysis of the data. Several questions needed to be refined to ensure clarity of meaning. It was also found that some questions in the interview guidelines could be eliminated because the answers were already gained through other questions. The interviews lasted about 25–40 minutes. In addition to digital recording, handwritten notes were taken to help recognize any issues during the interviews; these could be used as backup data if there were any problems with recording (Creswell, 2005). After conducting the pilot interviews and survey, the data were transcribed immediately and the analysis started. Transcription and analysis were done after each interview to identify issues that might need to be revisited in the follow-up interviews.

Some key names or positions and policies were noted for follow-up in further interviews. The researcher translated the interviews conducted in Arabic. Verification of the interviews was done by checking if the interviewees' answers are relevant to the research questions. It was ensured that the final transcriptions covered every single word that was relevant to the research questions. The researcher returned the transcripts to the participants to check that the contents matched the participants' answers. This helped improve the quality of information. Each interview was coded and linked to the correct location.

It was found that several factors can affect the adoption/development of open-access e-theses at academic institutions, and these were sorted out according to the research framework (UTAUT and social worlds models) and the literature reviewed. Similar perceptions from the interviewees were gathered and assigned a code as initial concepts. The related concepts were then organized in a sub-category. The categories used were the same as in the initial framework, but new concepts or themes could emerge. After the pilot study and after receiving feedback from supervisors, some procedures and questions were modified prior to commencing the actual data collection phase.

3.9 Research population

Attention needs to be paid to how representative the sample is and the extent to which generalizations can be made. Miles and Huberman (1994, p. 27) state that “Sampling is crucial for later analysis. As much as you might want to, you cannot study everyone everywhere doing everything”. Criteria were specified to guide the growth of the sample to the population of interest, as follows:

- The number of postgraduate students confirmed by the Higher Education Statistics Agency (HESA) Statistical First Release (SFR) 224, ‘Higher Education Student Enrolments and Qualifications Obtained at Higher Education Providers in the United Kingdom 2014/15’ (HESA, 2015)¹
- Preferably has an e-theses programme, offers postgraduate programmes/research activities (MPhil and PhD), has experience in research and is based in a research-oriented institution that provides both full-time and part-time modes of study (viewing by *OpenDOAR*, 2016)²
- Funded by the government/ a public university
- Convenience in terms of cost and time, the availability of access to the institution’s data and located in Kuwait, England or Wales (Miles & Huberman, 1994, p. 27; Bryman, 2012, p. 201)
- Snowball sampling technique through acquaintances and willing volunteers (peers) by requesting the link be shared with other relevant groups.

The following list of universities was derived based on the above criteria; the highlighted sites were chosen.

¹Higher Education Statistics Agency (HESA). <https://www.hesa.ac.uk/sfr224#tables>

²<http://www.opendoar.org/find.php?p=3&step=20&cID=224&ctID=6&rtID=2&format=summary&sort=r.rNumOfItems+DESC%2Cr.rName>

Academic Institution	No. Postgraduate Students	No. Academic Staff
University College London	18785	7070
The University of Birmingham	14060	3510
The University of Manchester	11865	4945
King's College London	11120	4510
The University of Oxford	9420	6870
Cardiff University	8905	3380
The City University	8585	1730
The University of Sheffield	8220	3090
University of Nottingham	8095	3400
The University of Leeds	8025	3290
The University of Glasgow	7655	3175
The University of Southampton	7645	2995
The University of Cambridge	7285	5690
The University of Leicester	6965	1700
The University of Strathclyde	6540	1430
Coventry University	6075	2000
Aberystwyth University	1335	940
Kuwait University	2188	1565
Public Authority for Applied Education and Training (PAAET; Kuwait)	349	1986

Table 5: Sites selected for the research

Universities with 9,000+ postgraduate students.

Considering the length of time, cost (Baker & Edwards, 2012) and accessibility.

These highlighted sites were chosen because they are considered research-oriented institutions and because facilities for the research could be provided. The researcher was sponsored by PAAET to pursue research and study in the UK, and the outcomes of the present research could be vital for this institution in relation to developing learning and research activities. Other sites in Kuwait were selected due to their history, backgrounds as HEIs and their similarity to institutions in neighbouring countries that have a similar culture, society, educational system, economy and history, thus making the research transferable.

The fact that the researcher is studying at the University of Aberystwyth limits the burdens of cost, time and geographical access. In addition, there appears to be interesting information to be gained about open-access e-theses repositories at UK academic institutions, which HESA

reviewed on the basis of accessibility, geography and cost. Furthermore, a number of full- and part-time postgraduate students are available at these institutions. These details were also verified in *OpenDOAR*, located at the University of Nottingham, and the Registry of Open Access Repositories (ROAR) at the University of Southampton. In addition, covering nine universities in two different countries may yield findings that can be used as guidelines for other academic libraries or institutions around the world.

The use of multiple case studies can sometimes provide additional insight into issues. Creswell (2003, p. 100) states that “it is better to select cases that show different perspectives on the problem and process”. Yin (2003) states that “involving two or more cases is a highly recommended technique for increasing the credibility of both analyses and results” (as cited in Lazar et al., 2010, p. 147). Moreover, evidence from multiple cases is often considered more convincing (Herriot & Firestone, 1983).

i. Strategies for employing the survey in this research

As the first phase of the research, the questionnaire represents a participant selection model based on sequential explanatory design (Creswell & Plano Clark, 2007, p. 73). The resulting quantitative data were analysed and helped in selecting participants for the qualitative phase.

Regarding the questionnaire, the researcher used convenience sampling and the snowball technique, which yield rich data relevant to the purpose of the research. In the second phase, the participants were chosen from the first phase using purposive sampling and snowball sampling. The sample should not consist of fewer than 30 people. Roscoe (1975) states that a sample size greater than 30 and smaller than 500 is suitable for most research, and where samples are to be split into sub-samples, a minimum sample size of 30 for each one is usually required (Cavana et al., 2001).

Many groups are involved in the process of adopting and implementing open-access ETDs; therefore, the roles of those engaged in the process and the structures of institutions affect the selection of participants. The following groups were included in the research sample:

- **Library administrators**

It is important to get more information and to illuminate concerns about open-access e-theses, such as policies, developments and cost issues. Therefore, the perceptions of this group are significant, as are their attitudes and interactions with others in the institution.

- **Postgraduate directors and managers**

The perceptions, attitudes and views of postgraduate directors and administrators are also valuable, especially as they are involved in budgetary and financial matters at their institutions.

- **Academic staff (who advise and teach postgraduate research students)**

Academic staff at the university have been involved in some way in the issue of open-access e-theses. Therefore, its members of staff from different departments were included. A maximum of three from each university were interviewed.

- **Postgraduate research students**

Three postgraduate research students from each university were included in the sample for interviews. Preference was given to those students in the final year of study.

The researcher believed that the four targeted groups of key informants would be very familiar with ETD programmes. Therefore, the interviews targeted the same four groups that were targeted in the first phase.

- **Selection of participants for interviews**

The purposeful sampling of the potential interviewees was based on the answers to questions three, four, five, six, seven, eight and nine from the survey, which were selected as pattern interview questions. This was done following the sorting of demographic data, such as discipline and location information, to ensure the inclusion of different disciplines and groups from universities in the UK and Kuwait. Criterion sampling (Bryman, 2012, p. 419) was used to identify participants for the second phase (interview); the criterion is related to individuals' roles and also to the sample, considering the length of time and the cost factor (Baker & Edwards, 2012).

3.10 Sample population

Denscombe (2007) and Oates (2006) state that two basic kinds of sampling techniques can be used in social research—probability and non-probability sampling. Probability sampling means the total population is clearly known to the researcher; therefore, the sample itself is more likely to be representative of the whole population. Non-probability sampling comes into play when the researcher believes it is not possible to include a large number of samples in the study due to time and cost constraints and not enough details are known about the population to undertake probability sampling. In this research, it would have been difficult to acquire accurate information from the nine academic institutions selected, which is a very large sample. Therefore, the non-probability technique was used in this research.

The researcher used convenience sampling in phase one of the study and purposive sampling in the second phase. Purposive sampling allows cases to be chosen that may offer sufficient or rich data surrounding the issues under consideration (Creswell, 2003).

3.10.1 Questionnaire respondent sample

As stated earlier, the questionnaire as a first phase of the research represents a *participant-selection model* based on sequential explanatory design (Creswell & Plano Clark, 2007, p. 73), in which quantitative data was analysed to help select participants for the qualitative phase. The survey was carried out by sending email invitations to the potential sample. The invitation was accompanied by a request to give informed consent. Participants in different positions, departments and universities were contacted, including those in departments of different disciplines at the nine academic institutions. All these people and sites were chosen by convenience sampling and the snowball technique to achieve a balanced study and identify participants for the next phase. The survey might have involved a large sample, which would be more likely to yield generalizable findings. The sample of the study was very large; therefore, 10% from each site were selected as a sample. The researcher believes that this procedure satisfied the research questions and aims. Preliminary messages asking for permission to post the survey link were sent to the moderators of the emailing lists at the nine universities, along with a request that they share the link with other relevant groups if possible.

3.10.2 Interview participants

The selection of the interview participants was achieved by purposive sampling, as outlined in previous sections. “In qualitative data collection, purposive sampling is used so that individuals are selected because they have experienced the central phenomenon” (Creswell, 2009, p. 217). In addition, criterion sampling was used to identifying participants for the interview phase. Patton (2001, p. 238) states that “criterion sampling involves selecting cases that meet some predetermined criterion of importance”. In addition, Bryman (2012, p. 409) states that all cases should be selected that meet a particular criterion. Moreover, due to the nature of the study and the different institutional structures of the cases, snowballing techniques were used to capture rich information.

In the snowballing technique, the researcher initiates contact with a small number of groups or individuals who are linked or who are relevant to the research topic and then utilizes this process to create an avenue for making contact with others (Bryman, 2012, p. 202). The prior sampling approach identifies a set of criteria for describing the nature of the sample. These criteria should be relevant to the purpose of the research, for example, participants involved in the decision-making process regarding open-access e-theses in academic institutions. After the initial request was sent inviting people to take part in an interview, a second email was sent to set the time and date. A reminder email was sent if no reply to the first invitation was received. In addition, a pilot interview was conducted to check whether the questions were suitable or needed to be reworded or refined.

The interview guide indicated which questions were sent to participants in each of the four categories of respondents. The first group of questions covered the value of open-access e-theses; the second related to the complexity of the issue; the third covered social impact; the fourth covered the impact of the institution’s resource availability; the fifth covered the interviewees’ experience and practices; the sixth related to individual extrinsic factors; and the last two covered the challenges and concerns relating to open-access e-theses. As the interviews were semi-structured, the participants sometimes partly controlled the direction of the conversation and the nature of the questions, so the order of the questions differed from that given in the interview guide.

The following figure shows the stages of the mixed-methods sequential explanatory design in this research.

- **Participant-selection model**
Mixed-methods sequential explanatory design
(Ivankova et al. 2006, p. 5)

- In the UK and Kuwait,
convenience and snowball sampling

- Data analysis, SPSS

- Connecting quantitative and qualitative stages, **purposefully** selecting participants based on pattern interview question responses.

- **Criterion sampling**
(Bryman, 2012, p.419);
criterion related to the individual's role.
'Sampling to ensure as wide a variation as possible in terms of the dimension of interest'.
The sample considers the length of time and the cost factor (Baker and Edwards, 2012).
*Minimum number at each site.

- Qualitative data collection

- Qualitative data analysis

- Integration of both quantitative and qualitative findings

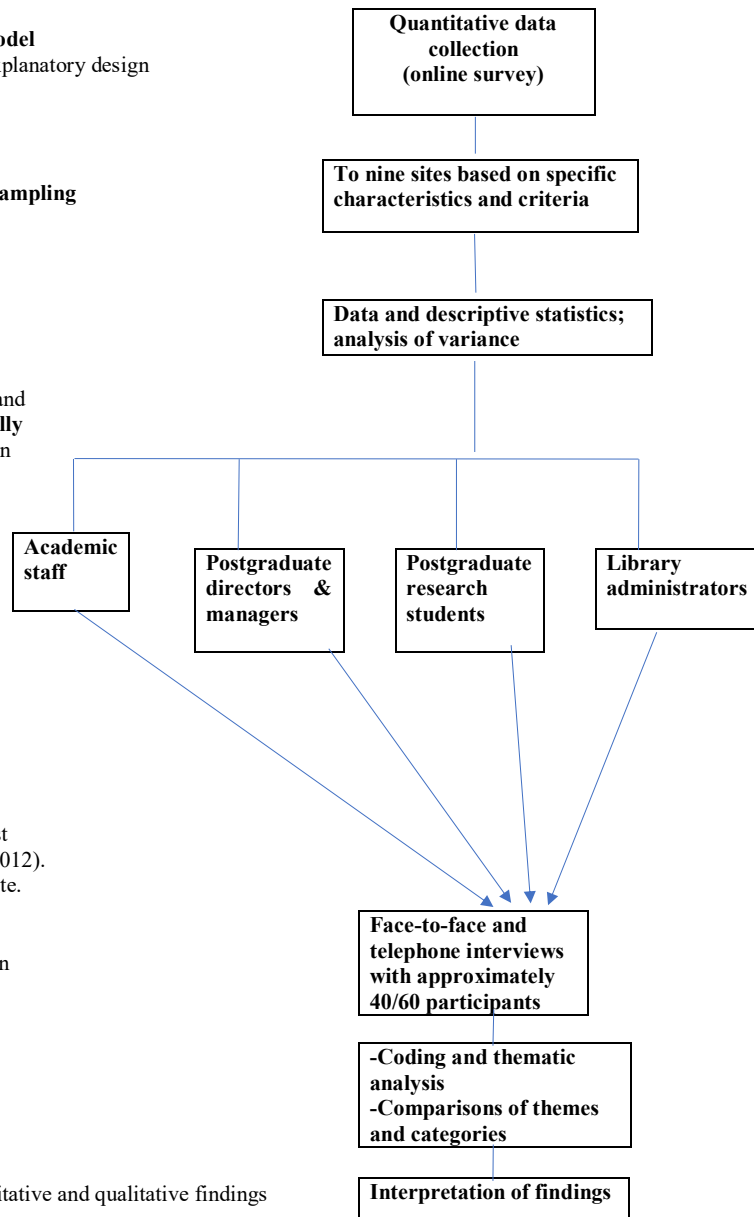


Figure 3: Sequential explanatory design based on Ivankova et al., 2006, p. 16

3.11 Ethical considerations

It is essential that ethical issues are taken into account in research, particularly qualitative research (Miles & Huberman, 1994, p. 288). Participants should feel confident about answering questions (Beghtol, 2008). In this study, the researcher checked and identified any ethical issues, complying with the Ethics Policy of the Department of Information Studies in Aberystwyth University's Code of Ethics.

This study can be classified as low-risk research involving human participants. As suggested by Bouma and Ling (2004), a letter of introduction signed by the researcher was prepared to help secure participants' cooperation. Once ethical clearance was obtained, a package of detailed information was distributed to participants and the questionnaires and semi-structured interviews were conducted with participants from Kuwait and the UK.

The researcher gathered data from each study participant individually. Contact details, including the phone number, fax and email address of the researcher and of Aberystwyth University, were made available to participants if case they required further information about the study. Participants' right to privacy and confidentiality was protected.

3.11.1 Consent letter

The front page of the survey included information about the study and the ethical considerations. The participants had to tick the box on the first page of the questionnaire to indicate his or her consent; if they did not, they were not be taken to the next page. All participants were informed that they had the right to refuse to answer any question and could withdraw at any point of the research process. The interview location and preferred time were up to the participants (see Appendix 3).

3.11.2 Privacy and confidentiality

It is essential that participants' privacy and confidentiality are always respected. In the first phase (the online survey), identifying details were not requested unless the participant wished to continue to the interview phase, in which case he or she was asked for contact details, such as email address. These personal details were held separately from the data analysis. In

addition, interview participants were given codes or nicknames when directly quoted in the research report.

The issue of confidentiality must be taken very seriously in qualitative research (Bryman, 2012, p. 136). The researcher has a duty to explain in the consent letter and in the description of the process how she or he will protect the participants' confidentiality. In the present study, personal and identifying data were safely stored on Aberystwyth University's M-drive and Google drive, access to which was by password only. In addition, any printed version of these data were kept in a locked drawer.

3.12 Methodological challenges

The probability of a poor response level in an online questionnaire is one of the concerns of quantitative research (Bryman, 2012, p. 679). Moreover, there is the possibility of 'over-researched populations' and 'respondent fatigue' among a particular group, which could lead to a high rate of refusal and in turn to a less representative sample, in which case the quality of the data could be called into question. Therefore, the literature was reviewed to ensure that there is no evidence of this particular topic having been over-researched, and criteria were carefully developed to allow a rich sample. Time can be another issue with online surveys and interviews, and therefore the availability of participants must be considered in advance. In addition, high workloads and stress may impact the degree of cooperation that might be expected from the participants, particularly those who are in high-level management roles (postgraduate directors and managers in this study).

3.13 Summary

The decision to use mixed methods in this study was made after reviewing the literature on the topic and after reviewing etd@ndltd.org, an email/online discussion group on the topic of E-theses and dissertations. The mixed methods design rests on the participant selection model (Creswell & Plano Clark, 2007). A quantitative approach was taken in the first stage in the form of an online survey, followed by qualitative interviews.

The survey was carried out by means of an online electronic questionnaire provided by Google Forms. It was distributed using the universities' email lists, obtained by contacting the library and the postgraduate research departments. In addition, the assistance of academics and students from each university was sought in persuading their peers to participate. This is a successful way of recruiting participants, and networking of this kind undoubtedly played a crucial role in reaching more respondents at each academic institution. The consent letter was attached to the invitation email setting out the purpose and proposed conduct of the research. Analysis of quantitative data was done using SPSS after conducting the survey in order to explore and identify salient points and to inform the qualitative interviews in the second phase of the study.

Qualitative data was analysed using MAXQDA and iterative thematic coding. A priori codes were created from research objectives and derived from the research framework, and emergent or inductive codes were created based on themes from the interviews. The qualitative interviews were conducted in person or by phone if the participant requested it, recorded using a digital recorder and subsequently transcribed. The primary focus in this research was the qualitative element, although a quantitative approach was used to develop and identify more aspects of the topic under investigation, which could help to complement the strengths and overcome the weaknesses inherent in a single-method design.

Chapter 4: Online Survey Findings

This chapter focuses on the outcomes of the first phase of the data gathering process, the online survey. The participants in the online survey formed the pool from which to select participants for the second phase, the qualitative interviews. Eight open questions from a total of 16, which represents the online survey, helped in identifying issues related to open-access e-theses and in selecting participants for the second phase of the research.

4.1 The questionnaire (quantitative)

In this research, both SPSS and Microsoft Excel were used to analyse the data. Google Forms was able to export the data to Excel and then used in SPSS in order to facilitate minor editing of the data where required. No complex statistical processes were needed, but crosstabs and frequency counts were used to help purposefully select the participants to be invited to take part in the qualitative interviews. The aim of the survey was to select participants for the second phase of the research (the interviews). Therefore, the targeted sample of the pilot study were the postgraduate students, academic staff and librarians'/repository manager at the academic institutions. Survey respondents are identified by the response number that was generated by the survey, starting with the letter 'R' for response.

4.1.1 Response rate

The data shows that 222 completed responses were received. one response was not agreed to complete the survey. Therefore, we had 221 respondents. The data were downloaded and examined.

4.1.2 Description of the sample

In this section, the participant profiles are detailed to give a clear idea about numbers before presenting the other results. The largest number of participants were postgraduate research students (127 or 54.3%), followed by academic staff (70 or 30.8%), postgraduate administrators (14 or 5.4%) and repository team members and librarians (10 or 4.1%). The actual number of people who received the survey is unknown, as it was circulated online.

Roles	Age						Total
	21-40		41-55		56-over		N/A
Postgraduate students	101		20		5		1
	M	F	M	F	M	F	-
	44	57	8	12	2	3	
Academic Staff	27		33		10		-
	M	F	M	F	M	F	
	16	11	21	12	8	2	
Librarians/IR Members	5		5		-		-
	M	F	M	F	M	F	
	3	2	-	5	-	-	
Postgraduate Administrators	4		7		3		-
	M	F	M	F	M	F	
	1	3	6	1	2	1	
The use of online searching tools on a weekly basis	138		65		18		-
	M	F	M	F	M	F	
	64	73	35	30	12	6	
More than three times a week	47	48	22	21	9	4	1
Not at all	5	1	2	-	1	1	-
Once a week	4	8	7	5	1	-	-
Two to three times a week	8	16	4	4	1	1	-
Total							221

Table 6: Relationship between use of online searching tools on a weekly basis and respondents' role, age and gender

Based on the answers to survey questions **Q11** and **Q12**, 138 respondents (62.4%) are 21–40 years old, 65 (29.4%) are 41–55 and 18 (8.1%) are 56 or over. In addition, 49.3% of respondents are female and 50.4% are male. Therefore, it can be associated with the regularity of online use by them. The significance of this data is to determine the respondents' use of online searching tools and to understand their perceptions regarding the adoption of open-access e-theses.

According to the results, 48 females aged 21–40, 21 aged 41–50 and 4 aged 56 or over out of 109 female respondents are regular users of online search engines, particularly Google Scholar. In contrast, 47 males aged 21–40, 22 aged 41–50 and 9 aged 56 or over out of 111 male

respondents are regular users of online searching tools. It is therefore clear that the perceived value of such tools to access information and use in research has an impact on users' perceptions and willingness to adopt open-access e-theses.

One survey respondent (R55) stated:

I think, consistency across institution, and getting all theses online, because in my subject area, there is one that was published in 1970s and that is foundational for the work, which is not online, and it is never published to the book, various universities are so... got them in microfilm, universities are really need to look back not every theses but the key one in different subjects put it online that would be brilliant, before people who wrote them die.

Regular practices and activities play an important role in determining how individuals will engage in the open access e-theses process. People are often influenced by the surrounding environment and regular activities.

4.1.3 Online searching tools

This section looks at how individuals access and search for information. Of those who responded to Q1, 183 (82.8 %) used Google Scholar and 117 (52.9%) used the university repository as the main online tools to access and search for information. The level of using online searching tools could encourage the acceptance of individuals if the institution adopts technology such as an open-access e-theses repository. However, such elements in return will be an influential element that drive academic institutions to obtain or implement such technologies dealing with challenges related to the implementation process such as requirements, staff availability, procedures and costs.

4.1.4 Learning about e-theses and repositories for the first time

This part seeks to identify aspects related to sources that play an important role in individuals' perception regarding the adoption of an open-access e-theses repository. Table 6 shows the answers to **question Q4** in the survey about when the respondent first heard of open-access e-

theses and repositories. This was a particularly important question, as it is directly linked to the subjects of social influence in the social worlds model and resources available in environment in UTAUT. The answers show that most respondents (68 or 30.8%) learned about e-theses and IRs at *workshops and sessions* held at libraries or information centres in academic institutions, followed by learning from *online search results* (66 or 29.9%), which indicates the significant role of online search engines in promoting academic IRs, and peers and colleagues (63 or 28.5%). However, many respondents (42 or 19%) stated they had never heard about e-theses or IRs, which is considered too many. Two issues have been identified here—the infrastructure and availability of resources at the institution and the influence of informal social practices.

Q4 When did you first hear about the repository or e-theses at your institution? (Please select all the responses that apply.)

The source of learning about E-theses for the first time	Postgraduate students	Academic staff	Total
Friends, peers, colleagues and supervisors	41	18	59
Library workshops and sessions	50	17	67
Internet online discussion group and email	4	2	6
Online through search results	36	21	57
Departmental discussion	2	2	4
Not sure	3	1	4
Never	22	18	40

Table 7: Learning about the repository and open-access e-theses for the first time (academics and postgraduate students only)

4.1.5 Facilities and infrastructure

This subject is often seen very effective particularly from postgraduate students and researchers. Responses to question (Q9) regarding the sort of training and instructions for using the repository provided by their academic institutions revealed that the respondents attended training sessions and workshops and received online instructions on using the university

repository. This means that they perceived their academic institutions provide them the necessary resources and facilities relating to open-access e-theses adoption. For example, one respondent (R7) stated that “they offered a library induction/orientation, and online help”. Some respondents reported online instruction is an important way to get information about the use of open-access e-theses and repositories in general. One respondent (R55) stated “Initially just online help but then one training session. Training is not required”. Several respondents were unsure about the number of library/institution training sessions regarding the use or promotion of e-theses. One participant (R23) stated that “I don’t remember to have received any training”, while another (R27) said “none in the last 7 years”. This demonstrates the importance of infrastructure and activities provided by academic institutions to effectively implement open-access e-theses and repositories.

4.1.6 The value of open access

It is important to see how individuals perceive the value of open-access e-theses and if it will influence their adoption or use. The survey questions **Q5** and **Q6** asked about the value open-access e-theses and the kind of experiences the respondents have had with the repository and if it met their initial expectations. The answers to **Q5**—How useful (e.g. it helps accomplish tasks more quickly) are open-access e-theses?—show that the respondents perceived them as valuable.

- **Wider audiences, sharing research outcomes and to be recognized**

Some respondents appreciate the concept of publicly accessible e-theses and if it allows to provide more features. For example, one respondent (R57) stated “... however I would also like for open access to include raw data and experimental script”. Another respondent (R55) said “I love depositing items in the university and getting the items automatically more cited and acknowledged by Google Scholar”.

- **Way of scholarly communication and reviewing other students’ work**

A postgraduate researcher (R8) stated that:

It is really great to get what other people did regarding the subject of the study or how did they accomplish their work. It is absolutely nice to and obtain what has been expected from the repository. The repository for me is what previous researchers did and follow to finish their works which is off course reflect a good experience for using it.

- **Less effort and free access**

One support staff member and former research student (R56) stated that “I’ve searched for a few theses online and the accessibility makes them a great resource”. Another respondent (R49) said that open-access e-theses repository is “very useful, it saves a lot of time”. A postgraduate physics student (R120) said that it “Shorten the time and effort” and “Find items so quickly”. Another respondent (R129) said “It is crucial as currently students cannot take out theses from the library and it takes time to go through each thesis. Ethos requires filling a form but it is very useful”.

Regarding the use of open-access e-theses in facilitating the search process in student research, one researcher (R26) stated that “related items could be found from the same topic, can read it anywhere at any time”. Regarding the value of repositories in research, another researcher (R55) said “Theses are so specific that I would not normally be willing to travel, pay for, or even order inter-library a thesis on the off-chance it would be useful. Open access thesis repositories are the main way I access theses”.

Another postgraduate student (R8) expressed their opinion of the value of open access for theses and dissertations for doctoral students, stating “I think e-theses should open-access. I can’t even imagine that e-theses are not open access. Theses are very important for PhD students, usually they are readers of these theses. So theses must be open-access”.

The majority of comments positively support the concept of open-access e-theses and the repository. An academic staff member (R7) stated that “One of most important key elements for using these repositories is to effectively remark important information on PC and retrieving that information later on very easily. It helps to save time and effort in located those resources more effectively”.

There were some negative views amongst the survey respondents regarding e-theses and

repositories. For example, some respondents mentioned that they did not perceive any value or even had little knowledge of the subject. One respondent (R29) said “Not much”; another (R32) said “Not sure, I have very little knowledge about it” and yet another (R14) said “Never used it so have no idea”. One person (R52) said that “While every repository is different, so my experience too. There are some repositories are useless, and I consider them just like catalogue, meanwhile there are some are useful since accessing you for full text”.

4.1.7 Challenges

To identify the influences that impact the adoption of e-theses, this section examines participants’ concerns regarding the adoption of open-access e-theses. The main outcomes of questions **Q7** and **Q8** relate to IPRs, publishing issues and profits. Some participants indicated that training and support activities are needed to ensure the success of open-access e-theses and repositories.

- **Ownership and ethics**

One Cultural Heritage student (R43) mentioned the copyright issue, stating that “People using your ideas and not citing correctly”. One person (R55) commented on the impact of open access on publishing research, stating “Immediate open access to theses can prejudice success of later publication in print”. A postgraduate student (R25) stated that “May not be cost-effective to give open access to all e-theses. No money going to publishers, so they may be more reluctant to publish academic research”.

- **Publishing opportunities**

An English literature researcher (R34) stated that “The main concern would be protecting my research. But I am also concerned about my subsequent ability to publish my research, whether as a monograph or journal articles when people would already be able to access the work via OA”. Another respondent from the history field (R58) said “I absolutely do not like university repositories demanding full text of theses because I think it makes it harder to publish them”.

An academic staff member in the English Literature department (R205) stated that:

Potential issues for ECRs who may want to publish their PhDs - publishers may be unwilling to take on work already freely available. In the organizational level the most concern is thought to be an influential part is funding and cost.

Regarding challenges that could impact the university in terms of open-access e-theses repository adoption, some respondents pointed out the possibility of conflict between content producers, publishers and universities. One respondent (R201) stated that “Antipathy from authors and publishers, copyright claims (especially for images) could be main concerns”. Another person (R49) said “would like to know the source, accessibility is great, but to what extent”.

Raising the awareness of faculty members was also seen as an important issue. One respondent (R36) talked about “persuading faculty to deposit their research and facilitating procedures to reach this end”. Another person (R18) said that:

The concerns should be about not having one and not supporting it properly. We offer 2-year embargoes for theses if people are worried about publishing their work and will permanently embargo theses for third party copyright and personal data breaches and any IP or contractual issues.

- **Funding and resources**

One repository team member (R42) commented on the challenges regarding “the time and cost involved in hosting the repository. Also, there may be opposition from authors, who might think that making their thesis freely available online might make a publisher less inclined to publish that research as a book”. A Cultural Studies researcher (R129) talked about “Maintaining the system, making it user-friendly which I think it is worth doing”. The same researcher commented on a policy aspect, stating “I have various embargo problem with” [the repository]. An Education PhD student (R30) stated that “I have used it since starting my PhD, it is good so far but requires some of time to use to it”.

The main concerns reported in this online survey relate to copyright, funding and publishing issues. One repository member (R19) stated that “Getting the submission process for print and

e aligned, cost of software development and support and ongoing maintenance - people think when it is digital it looks after itself but digital is far more expensive than print!”. Another (R7) expressed concerns about “copyright issues, adoptive digital copy, organization of information, money and finally experienced staff organization”.

4.1.8 Social and discipline influences

Respondents’ answers to Q7 and Q8 reflected concerns about academic disciplines and norms. The UTAUT and social worlds concepts discussed in the literature review highlighted the significant role of these concepts in individual decisions regarding the use of open-access e-theses and repositories. Some disciplines may require their members to subscribe to or use certain approaches, which means that they may be required to follow methods applied in that discipline. As a result, some researchers may not be motivated to use other tools. One librarian (R39) stated that “Some subject disciplines are guarded about releasing research online. We have stepped up training and guidance for postgraduate students and supervisors to help them understand how they need to pay attention to ethical issues” (they should be doing this anyway, but there is still a culture that expects theses to be locked away).

Someone else (R39) stated that “other subject communities already prefer to use established external repositories such as ArXiv”. Some researchers felt that academic disciplines play a role in research practices and activities, as priorities vary from one to another, which makes the adoption decision and process difficult. One participant (R27) commented that “In some disciplines it may prevent researchers work receiving the wider recognition it deserves by being published by and cited in prestige outlets”. Another participant (R49) states that “through my supervisor I learnt and heard about the repository and e-theses”.

Even those in the same discipline have different views, which supports the findings discussed in the literature review and which is illustrated in section 4.3.

4.1.9 Willingness to be interviewed

The answers to **Q15** about the willingness to take part in the second phase of the study reveal that 57 (25.8%) of the 221 respondents said they were willing to be interviewed and 164

(74.2%) said they were not. Potential interviewees were identified based on questions (10); discipline or field of study (14); their positions (15) and roles (16) via the online survey. The 57 respondents were invited to participate in an interview, but only 43 interviews were conducted due to the availability issues. Of the 43 interviewees, 25 were male and 18 were female. Abbreviations were used to refer to the interviewees; for example, PSA1 means an Aberystwyth University postgraduate student combined with the subject. Participants were located in Kuwait and in the UK. Face-to-face, telephone and Skype interviews lasted 25–90 minutes. Transcript examples can be found in the Appendices section. The literature suggests that open-access e-theses have implications for both individuals and institutions, as both are involved in the implementation of open-access e-theses. Unfortunately, there may be some conflict, as what is best for the institution may cause complications for individuals. This will be discussed in Chapters 5, 6 and 7. The presentation of data begins with individual level data and moves to institution level data. An example of the coding process is shown below:

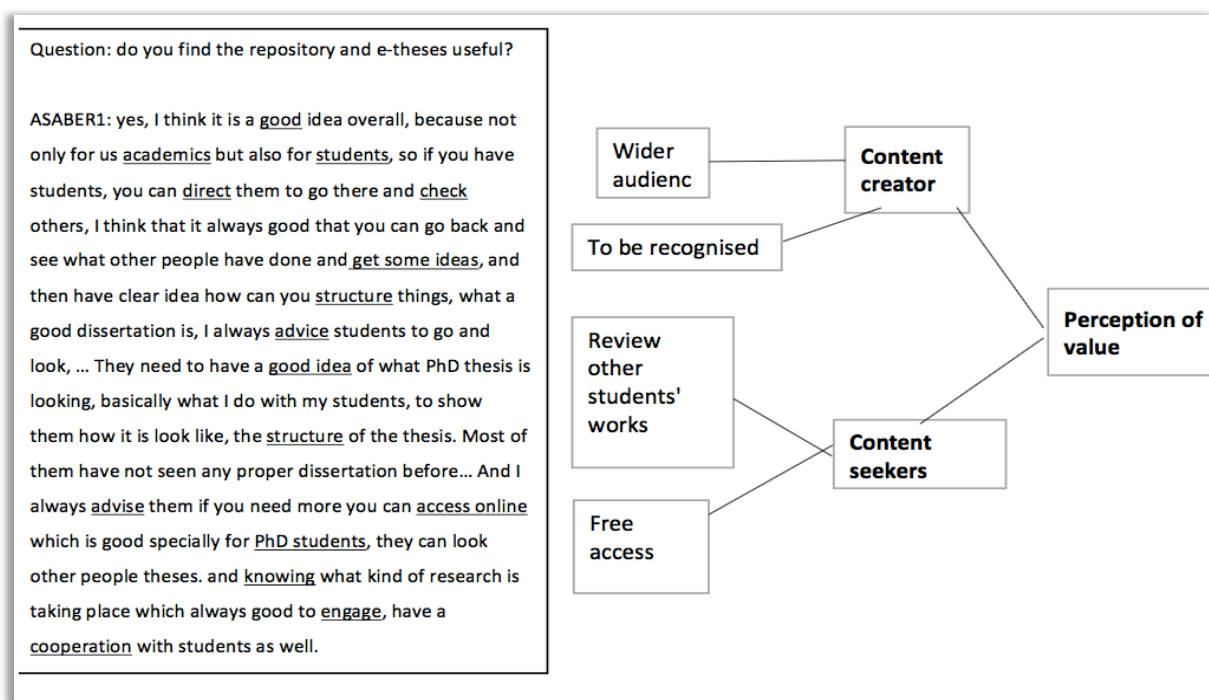


Figure 4: Example of the coding process

As discussed in section 3.10.2, purposeful sampling and the snowball technique were used to select the participants for the interviews. The next chapter presents the findings and analysis of the interviews with the stakeholders at nine academic institutions in the UK and Kuwait. As Bryman states “the search for themes is an activity that can be discerned in many if not most approaches to qualitative data analysis” (2012, p. 578).

Chapter 5: The Interviews Findings from Kuwait

This chapter covers the results of the interviews with the stakeholders in Kuwait regarding the factors and interactions that affect the adoption process and thereby influence the development of e-theses. The interviews were conducted in Arabic; therefore, the researcher prepared and organized the data before starting the coding by transcribing the interviews (see section 3.8). Following this, the researcher broke down and assessed the data line by line to generate concepts and label emerging phenomena. Thus, several aspects were identified that represent different phenomena. As different stakeholders are involved in e-thesis practices, the process of adopting open-access e-theses comprises interaction between these groups that could have similar academic values but that could differ in their handling of work issues and their environment at the university. Some of these issues relate to the technological, social and financial challenges that were identified.

5.1 E-theses

Several concepts were revealed in the discourse with participants regarding their views about open-access e-theses. These related to roles, discipline and prior expectations about using open-access e-theses and repositories.

5.1.1 Administrators' and librarians' perspectives

The various roles/positions of individuals have a substantial impact in constructing and shaping perceptions about open-access e-theses in academic institutions through their work practices and activities in the arena. The data revealed that the different interpretations of the value and potential of e-theses created some concern and conflict about what counts as good for the university. The views of the administrators were not necessarily the same as those of postgraduate students or researchers. Thus, when open-access e-theses were perceived as positive with many potential benefits that facilitate research and help solve challenges, it was a source of tension and conflict between the stakeholders with positive perceptions and the stakeholders with negative perceptions, such as those relating to publishing and ethical considerations. Administrators and librarians shared their ideas as to what was valuable for the institution with those important contributors and research funders outside the university, such

as government bodies and councils. The administrators and librarians favoured the instant adoption of open access across the institution.

In terms of the research environment, the interviewees' perspectives regarding the positive effects of e-theses, such as cost effectiveness and research progress, varied. When asked 'Do you think adopting an open-access e-theses repository is advantageous or has impact on the institution? How?', a senior manager at KU (AAK1) responded "Yes, to promote global exposure and utilization of scholarships, while affecting the ranking and scholarship outcomes on the university. Moreover, it also speeds up the process of publication and distribution."

The postgraduate directors/administrators supported open-access e-theses, which they perceived as offering a partial solution to some challenges faced by the institution. This affected decision making regarding e-thesis adoption. Regarding the positive effect of open-access initiatives, a senior manager at the Deanship of Libraries and Techniques at PAAET (AAP1; 03/11/2016 07:00-07:28) stated that "In general, open-access features will help in saving costs for journal subscriptions in databases and its requirements that we face, as well as overcoming the limitation of journal subtractions".

The role of open-access e-thesis repositories in research funding and their potential in terms of facilitating research collaboration and joint research was seen as valuable and a quality standard that will influence research activities. Another participant (AAK1) stated "I think the support provided by the research and publishing departments at the university, especially for funding, is one of the advantages; repositories may help to provide support via research cooperation opportunities that sustain the research and researchers".

In the same context, another person (AAK2; 20/12/2016 17:30-18:00) commented on the function of e-theses in managing the quality of research at the university, stating "I think yes, it does, especially for the academic organization; it works as a development system and monitoring or for quality control to ensure the highest quality that meets international standards in graduate studies programmes and the university outputs".

The perceptions of the three administrators from Kuwaiti academic institutions highlight the existence of the impact of individuals' roles on the decision to adopt e-theses at the institution. Librarians also shared similar ideas about the value of open access for the institution. They reported their belief that open-access e-theses repositories will facilitate research activities and

enhance the research environment by showing the quality of research at the institution. One of the online survey participants (R45, Librarian at KU) stated that “saving time and money by download the thesis directly from the Internet, and it is useful to show the level of quality for that university”. Another person (R47, Librarian at PAAET) stated that “I think it is very valuable and good to know what the university has done in many disciplines”. Yet another (R161, Librarian at PAAET) stated that the repository is “very useful to facilitate the research for materials and publication especially we are suffering from getting an updating information as a result of cancelling the subscription with many journals in our institution”.

It is important to consider the perceptions of other actors, such as postgraduate students, regarding the implementation and design of e-theses programmes, as they are considered an important element of the eventual success of open-access e-theses. The implementation of open-access e-theses is taking the form from top to down route where managers or people at higher level administration support its implementation. The outcome could well be a lack of motivation to participate in the system. This will allow identifying requirements to ensure that the open access will promote rather than delay the development of e-theses.

5.1.2 Postgraduate students’ and academics’ perspectives

The postgraduate students and academics showed mixed interest. Some recognized that open-access e-theses make research results more accessible and will have an effect on their work. However, many felt open-access e-theses would limit their future publishing opportunities or to detract from the value of their theses and dissertations or negatively affect copyright and IPRs. These findings illustrate the different perceptions of stakeholders regarding the nature and dynamics of open-access e-theses based on their roles. Open-access e-theses are seen not only as a tool that can be adopted at the institution but also as an approach used by many different actors who have different views on the topic. Therefore, open access e-theses must be understood in both ways and perceived as always evolving.

Interviewees from the group of academic staff revealed some different factors in talking about their perspectives on open-access e-thesis development. They mentioned the implications of e-theses and their concern about using them, as well as their perceptions of policy and the available resources. They perceived a lack of open-access e-thesis policies and a lack of awareness of the existence of such policies at the institution.

Two conflicting viewpoints emerged when the researcher asked the interviewees about their views on the value of open-access e-theses and about their concerns. The academics expressed a positive perception, but there were also concerns linked to the use of open-access e-theses, such as ownership and ethical issues.

Concerning the value of open-access e-theses, all six participants in this group commented on the subject in a positive way, supporting the concept of an open-access e-thesis repository. When the researcher asked about their views on the advantages of open-access e-theses, one academic staff member (R7, Academic staff, Information Technology, online survey) stated:

One important element for using these repositories is to effectively store important information on a PC and easily retrieve that information later. This helps to save time and effort in locating the resources more effectively. It is also good for comparing PhD theses from different academic institutions.

Another participant (ASK2, Business) described the benefits of open access in general terms:

It is useful to learn about the other studies in our area to develop the research. It is also good way to saving your time and effort by avoiding doing the same work that has already been conducted, and it lets you find new subjects in the field.

Another (ASP3, Education) stated:

I think open-access e-theses will become important to PhD students; it is good to review theses and dissertations that were recently written in different fields, and more importantly, you can read about your subject and view discussions and contributions on it. Postgraduate students must review these updated studies and results. Thus, e-theses provide an easy and effective way to reach these value items.

In contrast, two of the six academic staff members revealed some concerns regarding the use of open-access e-theses, such as copyright and IPR issues. This was shown when the researcher asked the participants, ‘In your opinion, what are the challenges affecting the adoption of open-access e-thesis repositories?’ One participant (ASP1, Information Technology) responded:

I think copyright and intellectual property are the most challenging issues facing the adoption of open-access e-thesis repositories, because the idea that someone will misuse your work could affect the decision regarding them. These issues can be overcome: You only need to raise your members' awareness.

Academic staff reported the importance of policy considerations in an environment of open access and publishing and that they should be thoroughly discussed and negotiated by the different actors. One staff member (ASK1) from the history department commented that "The adoption policy should be carefully discussed and must be articulated to prevent any copyright issue or concerns regarding publishing materials brought up by open- access e-theses".

Despite the availability of technology that can facilitate research, some academic staff, such as professors, took this view because they may focus most of their efforts on publishing. A common reason for this concern is the protection of materials. A professor at KU (R105, Pharmacy, online survey) talked about "protecting the IP for their professors/students and missing out of patent opportunities and associated financial gains".

Regarding the perceptions of postgraduate students, three of the six students discussed the value of e-theses vis-à-vis research and their studies. One student (PSP2, Science) stated:

When a PhD student intends or plans to conduct a new study or research, the researcher must search for new or recently published PhD theses on the subject. Often, such dissertations and these include suggestions and recommendations at the end of the research that provide directions for future studies. Therefore, accessing an e-thesis repository would be a good starting point for a new study. I completely support it.

Another one (PSP3, Engineering) stated "I think all students in all subjects want to see and preview other students' theses and works; even in history or science, they all share the same view". The third (PSP1, Art) stated that "full text e-theses is important for the PhD student to gaining understanding of the structure and the style to follow and understand the way of what the dissertation or thesis should be".

Other concerns about e-theses were mentioned by a few postgraduate students. One (R106 Anthropology, online survey) stated:

Postgraduate student claims that: Some material in some theses is sensitive. For example, comments made by professionals about their colleagues. At a later point, i.e. prior to publication, the author can take more time to disguise identities. But for the doctoral process, access needs to be restricted.

5.1.3 Prior expectations and thoughts on open-access e-theses

The level of expectation has been noted by participants in this research, the expectations that they and other group had in terms of the adoption technology such as e-theses have influence and could shape their perceptions around open access and e-theses. The researcher asked the participants ‘Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?’ Regarding the different expectations of open-access e-theses amongst different disciplines, A librarian/repository member (LKU1) stated:

I think, in technology, sciences and engineering, I think there will be more support for the idea [...], they perceive online sources as being faster and easier compared to other approaches, and they think that all materials will be easily available online. Some subject areas, like, hmmm, history, will be a bit less enthusiastic.

A librarian/repository member from the information services department at KU (LKU2) argued that “It would initially be easier to practice this type of programme, for example, in the scientific fields. They have more research activities and they are more research oriented than other areas are”.

One respondent (LP1) described the level of expectations of postgraduate students, saying “I think some students for example from sciences and technology expect that everything will be found on the web and the Internet so their opinions about it might be affected on their views”.

Expectations play an important role in deciding which practices are going to be followed. One respondent (LP2) stated “Nowadays, all students use online databases and journals, so I think it will be more willing to adopt the open-access e-theses due to their thoughts of the availability and access of materials on the Internet”. A postgraduate student (PSK1, Chemistry) said that “by using [...] online resources I can use some features like quick check for the references of

the work, in my opinion I expect a change of the usage of materials and patterns in general in the nearly future”.

5.2 Policies

5.2.1 The administrators and librarians’ perspectives

University policies play a major role in the research and development process and reflect the perceptions of high-level administrators on open-access e-theses and repositories. For postgraduate directors/administrators, the issues of institutional goals and plans emerged, as did the structural conditions of action and interaction strategies undertaken to handle such processes. These concerns are reflected in the comments of the participants from KU and PAAET when the researcher asked the participants ‘Do you think the expectation of the risks, such as intellectual property issues and copyright infringement, influence the intention of using open-access e-theses repositories?’.

a) Quality management and appropriate policies

A senior manager at KU talked about the institutional procedures and requirements to ensure the protection of both individuals and the organization. One important issue in the policies was the quality of managing open-access e-theses. The interviewee (AAK1, 30/11/2016 05:30-05:55) stated that “Policy and intellectual property issues must be handled in a proper way and supported appropriately to protect the institution and students at the same time, so this could take more time”.

Failure to fulfil these standards could create concern among individuals about e-theses adoption. In contrast, if the academic organization addresses such issues using high-quality standards, the individual will trust the interaction process and be convinced of the value of using e-theses.

Another senior manager from the College of Graduate Studies at KU (AAK2, 20/12/2016 17:30-18:00) talked about the role of e-theses repositories in supporting the university’s plans, policies and aims:

We are expecting seven new course programmes to be approved by the university administration; the College of Graduate Studies offers 84 programmes, including 11 PhD programmes and 68 master's programmes, as well as 5 postgraduate diploma programmes, so we support the idea of the e-thesis programme. Several meetings and preparations are being undertaken at the high management level to study all the financial and administrative characteristics related to the purchasing and processing of the e-thesis archiving system. Our aim is to link the applied and scientific arenas with the programmes and visions of the development plans at the national level in Kuwait, especially in terms of ensuring that there is accountability in place. To accomplish this, a review will be presented annually by the Planning Department to ensure that the goals of the School of Graduate Studies are achieved and determine the programme's feasibility for the Kuwaiti labour market.

In this context, the senior manager from the Deanship of Libraries and Techniques in PAAET (AAP1, 03/11/2016 07:00-07:28) stated that:

The institution should tackle such programmes with great care because they provide many sources of information that may not be available on other sites or in other forms; on the other hand, they will provide large amounts of revenue in light of the growing financial distress and amounts of research.

b) Setting policies and guidelines

The answers to the interview question 'In your opinion, what are the challenges that affect the adoption of open-access e-thesis repositories?' revealed postgraduate administrators' views on the appropriate type of policy for open-access development at their institutions. The respondents emphasized the application of a mandatory policy to effectively implement e-theses at academic institutions. One respondent (AAK1) stated:

Compulsory policy for e-theses to deposit theses and dissertations will be more effective for the university. It will be difficult to control and manage e-thesis

programmes if the decision to deposit the thesis in the repository is only made by the students.

This could raise some concerns among other groups, such as postgraduate students, as they are often apprehensive about copyright-related issues and publication opportunities. Participants in this group of administrators believe it is important to put specific regulations in place regarding thesis deposition to ensure successful open-access development. One respondent (AAP1, 03/11/2016 07:00-07:28) stated:

In my opinion, the policy should be considered in a meaningful way, considering the implications for both the students and the university. I think a mandatory deposit policy for e-theses would be more beneficial for the institution and for addressing the concerns around e-thesis management.

A senior manager at the College of Graduate Studies at KU (AAK2, 20/12/2016 17:30-18:00) stated that the policy should be compatible with the policies, regulations and procedures of the institution, stating that:

In general, a voluntary adoption policy is not supported by our university regulations and culture; hence, a mandatory e-thesis policy is more suitable for Kuwait University to ensure support for the development process of the system is received from parties like the government and research councils. If the policy is not mandatory in the university, these bodies will not be likely to provide such support. In addition, a voluntary policy option will mean that it will take more time to spread the idea and raise awareness throughout the university.

Librarians' perspectives on policy highlighted several aspects regarding the existence of policy approaches to e-theses adoption. Three of four librarians and repository group members stated that open-access e-theses policies had not been established at their organization, and they thought that top management should encourage the implementation of this type of policy. They were asked the question 'What is your opinion of the institution's open-access e-thesis policy and regulations, if any?' One respondent (LKU1) said "We do not have specific policies for open-access processes; we only have a general guideline for electronic publishing and online services. I hope we will have such a policy and procedure in place in future". This illustrated that the lack of an open-access policy, especially one that covers e-theses, makes the individual

departments responsible for managing such projects. One librarian/repository group member in the Information Services department (LKU2) stated:

We only have a few procedures in place here to deal with the theses and dissertations we receive from postgraduate students and the College of Graduate Studies. This process includes receiving hard copies and CDs containing the electronic version of the work. However, concerning online publishing, we only have a general policy about electronically publishing online, and this is not specific to theses or dissertations [...]. The body responsible for this kind of work is the College of Graduate Studies; the college is in charge of theses and dissertations and the implementation of e-theses.

One of the librarians/repository members at PAAET (LP1) revealed that “The current policies do not ask students to submit electronic copies of their theses to our database; they are only required to submit their abstracts. The existing policies are not appropriate for this project”. The four librarians at the Kuwaiti academic institutions stated that policies should be implemented in such a way that they provide quality management for both the students and the university. One librarian from the Information Services department at KU (LKU2) commented that the university should take responsibility for developing the project and determining the appropriate policies and arrangements for managing it, stating that:

There should be some sort of body. It reflects on the university; so, if something is the university’s responsibility, then it should be protected. They should make some sort of policy protecting different types of research, such as in the areas of the art, TV/drama, and so on.

5.2.2 The postgraduate students’ and academics’ perspectives

In terms of academic and postgraduate students’ perceptions regarding open-access policies in the context of Kuwait, the participants indicated their concern about the lack of policies and regulations at their institutions. They are also concerned about the differences in the views of the different stakeholders.

The lack of **quality management and other appropriate policies** was discussed by the group of six academic staff who participated in the interviews. They were asked ‘What is your opinion of the institution’s open-access e-thesis policy and regulations, if any?’ One respondent (ASP2,

Information Studies) stated that “To my knowledge, there are no open-access initiatives practice at all. Therefore, I do not know of any policies or strategies at present”.

The data showed that the academics are concerned about conflicts of interest. One respondent (ASP4, Mathematics) stated “I think there will be different points of view around the adoption of open-access e-theses and different levels of acceptance among the staff members or researchers. This should be taken into consideration when applying the programme”. A history student (ASK1) said that “Implementing this type of programme requires more collaboration between different people in the university to increase the awareness of these models of publishing”.

In the previous passages, the participants mentioned differences among the disciplines. This raises concerns regarding open-access development, and such differences should be considered if and when a policy is applied.

The group of six postgraduate students expressed their views on open-access e-theses development and policy. Four of the six interviewed perceived no issues concerning the type of policy for submission and supported the concept of open-access e-theses. However, two respondents in this group mentioned some concerns when asked the questions ‘What are the challenges affecting the adoption of open-access e-thesis repositories?’ ‘What is your opinion of the institution’s open-access e-thesis policy and regulations, if any?’ The contents of the appropriate policies and type of deposit policy that could affect the process of adopting open-access e-theses were mentioned. The respondents stated that it would be more appropriate if the postgraduate students had the discretion to deposit their theses and dissertations based on their interests and the nature of their disciplines to prevent any conflict that could emerge between stakeholders involved in the project development. Because the process of adopting open-access e-theses involves multiple parties with conflicting interests, a balance is required to encourage all parties to participate in establishing a repository. Two participants preferred having the option of voluntarily including their theses in the repository. One (PSP1, Art) said “I think it is better to give the decision to the researcher. I think this is the best option for avoiding any concerns, such as those related to publishing opportunities or copyright matters”. A languages student (PSK3) stated “I think the choice of depositing the thesis must be made by the student. It is the student’s work. I believe it should be the choice of the PhD students to publish their theses in that way”.

In contrast, the other four postgraduate students perceived no issues related to this e-submissions and were willing to use the e-thesis repository. One student (PSP2, Science) stated:

When a PhD student intends or plans to conduct a new study or research, the researcher must search for new or recently published PhD theses on the subject. Often, such dissertations and these include suggestions and recommendations at the end of the research that provide directions for future studies. Therefore, accessing an e-thesis repository would be a good starting point for a new study. I completely support it.

An engineering student (PSP3) stated that “I do not think there are any [problems]. I think all students in all subjects want to see and preview other students’ theses and works; even in history or science, they all share the same view”. An accounting postgraduate student (PSK2) commented that:

Maybe, in some circumstances, there are, ahh, some concerns, so the student could ask the university to restrict the work, but in general, I think most researchers want their results to be shared and distributed, which also helps them to be recognized.

As discussed earlier, the procedure of conceptualizing an open-access e-thesis policy clarified some tensions between the two groups regarding any depositing policy that may be adopted by the institution. This could also influence the interactions involved in e-thesis development.

5.3 Funding

5.3.1 Views of administrators and librarians

Like any other academic institution, Kuwaiti universities face several challenges in implementing strategic policy, such as limited budgets, management costs and a lack of resources. A senior manager at PAAET (AAP1) and a senior manager from the College of Graduate Studies at KU (AAK2) mentioned funding and budget constraints, related to open-access e-thesis adoption and development. The participant from PAAET (AAP1, 03/11/2016 07:00-07:28) stated that “Due to the lack of funding and the annual reduction of overall budget by the government [Ministry of Finance] which impacts also on the library deanship and cut

down the library budget". The senior manager from KU (AAK2, 20/12/2016 17:30-18:00) mentioned governmental influence, stating that:

A mandated policy for e-theses is more suitable for Kuwait University to ensure it receives the required support for the system's development process from parties like the government and research councils; if the policy is not mandatory in the university, these bodies will not be likely to provide such support.

A librarian/repository member at PAAET (LP2) described the significance of funding and the implications vis-à-vis the services offered by the institution and stated:

Our current budget is relatively low, and it does not meet the purpose required. Thus, to improve the services of our libraries in general, our Deanship of Libraries and Techniques presented a request to the PAAET deanship to increase the annual budget, and we received a response to address this, saying it would be done soon.

It is worth noting that librarians may not have been considering costs in their view of the establishment of e-theses policies, as they may not have had sufficient budgetary knowledge in terms of what the institution could afford. Conflict could occur due to the lack of awareness about the resources needed for the development of open-access e-theses. Such conflict resulted in a certain amount of annoyance for some individuals. The tension resulting from insufficient communication between members of these groups may negatively impact the development of open-access e-theses.

There is no direct government influence on academic institutions in Kuwait, the nature of which is based on learning, education and research. The only governmental influence relates to the financial support provided by the government, as the two institutions are government funded. Therefore, their main strategies and policies are essentially mandated at the national level. Financial matters could be an obstacle in developing an e-thesis project at academic institutions in Kuwait. Most interviewees focussed on the funding issues faced by the organizations.

It is crucial for academic institutions in Kuwait to initiate and engage in negotiations with the government to allocate a budget for research activities. To accomplish this, it is necessary to convince the government bodies that these initiatives will be beneficial for the academic

institutions in the long term. For example, when e-thesis repositories are available to the research departments, libraries and information centres at the institutions, they will be able to meet that requirement.

The three administrators discussed the significance of policy relating to costs in terms of timescales. One respondent from KU (AAK1) stated:

Budget and costs may be influential in the long term. I think technical and archival issues related to the library and IT department should be considered. You need enough funds to cover all expenses, especially in terms of staff, and you need to continue to offer that for your staff members and other stuff.

Regarding cost and procedures, another respondent (AAK2, 20/12/2016 17:30-18:00) stated:

We have a good current level of technical infrastructure here at the university, and the administration takes this into consideration. However, you must also be aware of the costs associated with the ongoing procedures related to the system development that may have an effect in the long term.

A senior manager at PAAET (AAP1, 03/11/2016 07:00-07:28) commented about the money allocated for the department by the government and university administration, stating “There are so many costs involved, a lack of budget can make it difficult to support the IT infrastructure”.

The four librarians in this group agreed that the availability of financial support would greatly influence the adoption of open access, whether positively or negatively. From a positive perspective, they perceived that the required funds to support open-access e-theses and repositories were available at their institutions. However, the costs linked to long-term services for infrastructure and technical processes could negatively influence the adoption of open-access e-theses. One librarian from PAAET (LP2) stated:

Our current budget is relatively low, and it does not meet the purpose required. Thus, to improve the services of our libraries in general, our Deanship of Libraries and Techniques presented a request to the PAAET deanship to increase the annual budget, and we received a response to address this, saying it would be done soon.

Another librarian (LKU1) stated:

I believe that the infrastructure here is good, and at the same time, it also costs money. However, we have total support from the university administration. I think that if you have the budget, this is one of the key elements for success in your work at any institution.

5.4 Structure

5.4.1 Perceptions of the way of working

The three administrators at the Kuwaiti institutions raised the issue of bureaucracy, which they perceive leads to delays that hinder the development of e-thesis programmes. The researcher asked the participants, ‘In your opinion, what are the challenges that affect the adoption of open-access e-thesis repositories?’ A senior manager from the College of Graduate Studies at KU (AAK2, 20/12/2016 17:30-18:00) responded by saying “The structure is a common issue in Kuwaiti academic institutions, as the work practices slow down the developments and put many barriers in the way of enhancement”.

Regarding the long bureaucratic processes and long wait times, one respondent (AAP1, 03/11/2016 07:00-07:28) commented that “Any process usually takes twice the time it should due to the system and work conducted here”. It is obvious that this issue is considered one of the most significant factors delaying the implementation of e-thesis programmes in academic institution in Kuwait. This includes the lengthy procedures involved in decision making, especially anything requiring financial commitment and approval by the Ministry of Finance. Another participant (AAP1, 03/11/2016 07:00-07:28) stated that “At different management levels, here at PAAET, the decision-making process involves many stages, making the activities and processes hard to do and affecting the programmes’ procedures”.

Regarding organizational structure and its effect on technology adoption, the researcher asked about the challenges that may be perceived as barriers to the development of open-access e-theses at the university. One interviewee (AAK1) responded by saying:

Well, I think the problem is that the approach or the structure of work here, that things usually take some time and several meetings or discussions with different people and in different departments in the university. [...] Yes, it considerably influences any process. (AAK1).

5.5 Infrastructure

5.5.1 Stakeholders' views of the organizations' infrastructure

a) Physical infrastructure/resources

Physical requirements and infrastructure is one of the issues perceived by university directors and other groups. Although the three senior managers believed that the required infrastructure and equipment needed to implement open-access e-theses were available at Kuwaiti academic institutions, they were also concerned about the associated expense in terms of resources that might be a hindrance. One respondent (AAK2, 20/12/2016 17:30-18:00) stated “I do not think the infrastructure of technologies will be an issue here. However, there may always be an issue concerning the availability of staff or other members who can work toward it and manage the process”.

Another respondent (AAK1) agreed that technological resources are not an issue for open-access e-thesis development, stating “It is easy now with all this advanced technology and infrastructure; we have to deal with the electronic services and skills require”. A senior manager at PAAET (AAP1, 03/11/2016 07:00-07:28) said that “From my point of view, I believe that we have the required infrastructure to deal with the electronic services”. This group perceived that infrastructure requirements will not be a barrier to e-thesis development, but they perceived ongoing expenses relating to processes and the availability of technical staff as influential factors that should be considered.

In contrast, two participants expressed different views regarding preparation and infrastructure, suggesting that certain difficulties could arise around these technical aspects when adopting open-access e-theses. Librarians talked about issues relating to the right policy for selecting the programme and to the current infrastructure. One participant (LP1) said “Yes, I think there are some challenges, like finding the best programme that will run the e-thesis repository and the

staff that are available and able to work and train the people to use it”. Someone else (LP2) stated that:

If we want to adopt the latest technology and provide good services, then it is necessary to enhance the infrastructure of our libraries here at PAAET. I think the situation here is not what it should be, as there is a lack of equipment and absence of institutional strategies guiding the development in our library services.

Based on the above statements, it can be said that there is insufficient information, regulations and policies at present. These issues need to be addressed at the outset to avoid conflict among the various groups involved in e-thesis implementation.

Three of the four librarians did not consider infrastructure a concern in terms of the development of e-theses at Kuwaiti academic institutions. They perceived that their institutions had the basic requirements for such programmes, as well as advanced technologies to manage electronic materials, which had already been adopted at the university. A librarians/repository member from KU (LKU1) stated, “I am quite sure that the university would cover any issues related to technical or infrastructure matters, if there were anything missing in these areas”. A librarian at PAAET (LP1) claimed that *“Technological resources are not an issue for e-thesis development. I think we have the basic requirements to run it, and we have a good level of infrastructure available here in PAAET”*.

It can be observed that, the two groups—administrators and librarians—at Kuwaiti academic institutions perceived that infrastructure will not be a barrier to the development and implementation of open-access e-theses at their institutions. However, they also perceived ongoing expenses relating to associated processes and the availability of technical staff as influential factors that should be considered.

The interview findings regarding postgraduate students’ views on the infrastructure and resources available for e-thesis implementation indicated that four of the six participants perceived that their institutions had the required equipment and infrastructure for this purpose. A chemistry student from KU (PSK1) said “Actually, I think the required systems and technological infrastructure are available at our university, as they are already offering some other electronic services”. An accounting student (PSK2) said “Yes, I think they are in a position to provide the required equipment if needed”. An art student from PAAET (PSP1)

agreed with the previous statements, stating “In my opinion, the IT services and resources at the institution meet my needs. I think the university also encouraged the library to improve the services to help the students in their research and studies”.

The other two mentioned some concerns about technical resources, including staff availability and support related, which could affect the development of open-access e-theses. One (PSP3, Engineering) stated:

From my perspective, yes, there are some challenges and questions. For example, how will the university run the e-thesis programme? Do they have staff capable of working with and manage the e-theses? What types of training programmes will be offered to students regarding e-theses?

The other (PSK3, Languages) was also concerned about the ability of the institution to support the system, stating “I wonder if the university can provide the appropriate level of technical support for the system. We currently encounter some problems related to the system operations”.

Based on the interview findings, the institutional infrastructure was seen as being close to that required for other library services. However, there were some extra requirements in terms of policies and regulations and the criteria for selecting the appropriate equipment. Problems with staff availability could create conflict among the different parties involved in the e-thesis process. This could prevent the work required for open-access e-theses from being accomplished. This could be a critical issue that could affect the development of an e-thesis repository in these institutions.

Overall, the postgraduate students felt their institutions had the required technological infrastructure. However, they reported that the availability of staff to deal with open-access e-theses and manage the work must be considered, as appropriate staff availability would facilitate the development of the repository and prevent any delays in its adoption.

b) Human infrastructure/resources

As seen above, in terms of staff availability, the requirements for implementing an open-access e-thesis programme could create tensions between different groups. For example, administration members could have a positive view of open-access e-theses and consider them effective tools, but other stakeholders' perceptions, such as those about the resources available at the institution, could differ. One online survey participant (R147, academic staff, Information Studies, p. 205) stated "In my opinion, the funding and staff required are the main factors; the staff required for the adoption process are important to ensure a successful adoption". This is consistent with the view of the senior manager at the Deanship of Libraries and Techniques at PAAET (AAP1, 03/11/2016 07:00-07_28), who stated that "There must be ongoing technical support, and this may be difficult to achieve because of limitations in the available budget". Another participant (AAK2, 20/12/2016 17:30-18:00) from KU stated "However, there may always be an issue concerning the availability of staff or other members who can work toward it and manage the process". Regarding the ability of the institution to provide support for the system, one respondent (PSK3, Languages) said "I wonder if the university can provide the appropriate level of technical support for the system. We currently encounter some problems related to the system operations".

5.6 Informal social influences

The awareness of open-access e-thesis programmes seems to be influenced by the informal interaction between the members within groups and between groups. This leads to improving these individuals' understanding and helping to increase understanding among the different groups.

The interviewees pointed out that a lack of interaction could cause tension and slow down projects. In addition, the informal interaction between groups could encourage cooperation and communication between stakeholders in other departments, as active communication and collaboration helps in achieving the best results regarding the adoption of new projects and programmes. A senior manager (AAK1) stated:

I think direct interaction is important for raising the level of awareness. You should also consider the advice given by colleagues and people around you in your work who

may have knowledge about this subject, which would affect you, as well as the role of the project leader and members in the communication process regarding e-theses.

Another respondent (PSP2, Science) also mentioned the significance of informal social influence in terms of awareness, stating “I usually ask my supervisors about every aspect related to my work and research. I believe I will receive the right response”.

Overall, in the view of the postgraduate directors, tensions could emerge due to the organization’s interest in managing and controlling open-access e-theses and the conflicting perceptions of others (e.g. regarding the value of e-theses for postgraduate students). As illustrated above, establishing communication channels could help in fostering the adoption process.

The three administrators in this group agreed that open-access e-theses support research development, facilitate research progress, improve organizations’ reputations and enhance scholarly communication. However, there appeared to be tension between administrators and academics, specifically researchers, as the process could conflict with the diverse values and norms of the different disciplines if not well addressed. For example, while those at the managerial level are more concerned about quality and research status, the researchers are more focussed on their research interests. Therefore, it is important to consider this in the negotiations at the formulation stage to avoid conflict, and the regulations must be made known to all the involved parties.

The administrators stressed the importance of initiating direct interaction with different stakeholders and stated that it is a powerful tool in understanding priorities and issues. A senior manager (AAK1) said “I think direct interaction is important for raising the level of awareness”. Another senior manager (AAK2, 20/12/2016 17:30-18:00) commented:

Well, I think if there was a lack of communication and interaction between or within different departments in the university, that would create concerns about the time and effort that would be required to spread the awareness of such IT initiatives and share their views.

Informal social influences were likely to play a role in the decision to adopt open-access e-theses. Personal or informal relationships were considered very important in better

understanding e-theses adoption issues, which can lead to the smooth running of the process. One participant (ASP1, Information technology) provided an example of this:

It may happen. For example, there was a case that I was involved in, where there was a new member of the academic staff at our institution who proposed a good new project plan to people at the higher administration level. Unfortunately, no one was interested, and they didn't give it a chance.

As seen from the previous example, relationships could play an important part in sharing and transferring ideas. Therefore, this aspect is considered a significant factor in adopting technology in this context.

5.7 Communication

Interaction and communication were perceived as being important aspects affecting awareness among stakeholders. The three administrators stated that the absence of interaction to form a cooperative environment and exchange ideas about e-theses led to the parties' limited awareness of the open-access e-thesis concept, thereby negatively affecting the adoption process. Communication between different stakeholders supports the successful adoption of open-access e-theses and provides greater opportunities to achieve a level of trust that will enable open discussion and the formation of positive attitudes toward open-access e-theses. One participant (AAK1) stated:

I think direct interaction is important for raising the level of awareness. You should also consider the advice given by colleagues and people around you in your work who may have knowledge about this subject, which would affect you, as well as the role of the project leader and members in the communication process regarding e-theses.

A senior manager from The College of Graduate Studies (AAK2, 20/12/2016 17:30-18:00) mentioned the significance of communication in terms of awareness among stakeholders, stating:

Well, I think if there was a lack of communication and interaction between or within different departments in the university, that would create concerns about the time and

effort that would be required to spread the awareness of such IT initiatives and share their views.

In the same context, an academic from PAAET (ASP1, Information Technology) said:

I think the interaction between different groups among the staff, researchers and librarians is important for increasing the awareness about this concept. It is important to involve all of them in [...] the process and consider their opinions and knowledge.

Communication helps to avoid any potential conflict before or during implementation and ensures that no important aspects that could affect the process remain undiscussed. Direct interaction seems to have increased the general comfort level and positive perceptions amongst different stakeholders. The ability to engage in the decision making and exchange ideas helps to reduce any issues surrounding e-theses adoption.

Two of the four participants in this group perceived that their interactions with administrators are relatively good and dynamic. This may be because they have a close working relationship and share similar views of administrative work. One participant (LKU1) from the Librarians' Affairs Department claimed "We have a very good relationship with the people at different management levels; we have some connections with them, and they show their interest in providing all kinds of support". A librarian from the Information Services Department at KU (LKU2) stated "As a library, we need different kinds of support, and in my view, the administration at KU pays attention to our needs through effective communication between our department and the administration". However, one of the four librarians interviewed suggested that some difficulties may arise in the interactions if the issues such as lack of awareness are encountered. This interviewee (LP1) stated that:

Members, especially at the higher management level, are sometimes not very keen on some issues, unfortunately. For example, there was a plan for a project in one service, but there was less willingness to adopt it at the time [...]. This may change if someone introduces it in an effective way that will surely change their views. I think marketing such programmes will raise the acceptance and adoption of open-access e-theses.

As mentioned, the librarians thought that developing and adopting e-theses and services should be the administrators' priority, and tension mostly emerged because of the lack of

communication between librarians and administrators. One participant from the Librarians' Affairs Department (LKU 1) stated the "[...]. The body responsible for this kind of work is the College of Graduate Studies; the college is in charge of theses and dissertations and the implementation of e-theses".

In terms academic staff perceptions regarding communication and interaction, one academic staff member (ASP1 Information technology) stated:

It may happen. For example, there was a case that I was involved in, where there was a new member of the academic staff at our institution who proposed a good new project plan to people at the higher administration level. Unfortunately, no one was interested, and they didn't give it a chance.

The levels of interaction and collaboration among the stakeholders relating to open-access e-thesis adoption was identified in this group. Two of the six academic staff members stated that interaction and communication between various parties will encourage participation and enhance awareness. One academic (ASP1, Information Technology) stated:

I think the interaction between different groups like the staff, researchers and librarians is important for increasing the awareness about this concept. It is important to involve all of them in [...] the process and consider their opinions and knowledge.

The findings showed that a lack of interaction and collaboration could influence the perceptions about open-access e-theses among the different groups. Effective interaction could help to reduce concerns among all parties. One participant (ASP2, Information Studies) mentioned the role of interactions in the PAAET environment, stating:

Yes sure, at PAAET, this is crucial. If they want it, they will make it happen; otherwise, it will not be applied. The problem is how they obtain information or listen to the information about such initiatives. Are the resources reliable and effective or sufficient to complete the work? It is important to make a correct decision because they are the money keepers and money holders. If they aware of the importance of the programme, then others will be directly affected.

Based on participants' opinions regarding interactions, tension was identified in terms of the organizations' interest in managing and controlling open-access e-theses and perceptions of the value of e-theses (for postgraduate students, for example). The participants clarified that involving all stakeholders in the policy adoption process would reduce any related concerns for specific groups that could hinder the development of the e-thesis programme by increasing awareness in all groups with effective communication.

5.7.1 Trust in communication and interaction

In line with the literature (Pahl, 2000; Nielsen et al., 2000; Sisson, 2000; Jarvenpaa et al., 1999) on the critical role of trust in effective interaction and communication in institutions, four of the six postgraduate students interviewed stated that trust in interactions affects perceptions of open-access e-theses. The researcher asked 'Do the structures or relationships play roles in the adoption of open-access e-thesis repositories?' and 'Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?' The respondents stated that informal social influence in the form of academic supervisors' perceptions is an important element that could influence postgraduate students' perceptions. One respondent (PSK1, Chemistry) stated:

I don't think there is so much peer influence on the perception of e-theses or other programmes, but in terms of my academic supervisor, yes, maybe, his views could be influential. I respect my supervisor's opinions, and I trust in his knowledge in our field and research in general.

Another respondent (PSP2, Science) said "I usually ask my supervisors about every aspect related to my work and research. I believe I will receive the right response".

Regarding individuals' activities and interactions, the role and impact of peers and colleagues on individuals' perceptions about e-theses were mentioned several times by participants, one of whom (PSK3, Languages) commented:

Yes, indeed, I think there is an effect. I respect some of my peers' and academic staff members' opinions and experiences here in the college on specific topics; these types of relationships help you in learning necessary information about the subject.

Another (PSK2, Accounting) stated “Yes, there is an influence at some level; you should consider other people’s opinions, especially those of your supervisors. I think this is important when it comes to making any decisions that associated to your study”.

Three of the six participants from the academic staff group talked about the impact of relationships and structure affecting e-theses development. The researcher asked ‘Do the structures or relationships play roles in the adoption of open-access e-thesis repositories?’ One participant (ASP1, Information Technology) stated:

It may happen. For example, there was a case that I was involved in, where there was a new member of the academic staff at our institution who proposed a [...] new project plan to people at the higher administration level. Unfortunately, no one was interested, and they didn’t give it a chance.

Another participant (ASP3, Education) explained the importance of this issue in the Kuwaiti setting, stating “You must not ignore that here in Kuwait, personal relationships make up a great part of our communications, and they may be an important influencer for other”.

Communication at all levels is important as it is linked to trust and affects awareness and understanding of the adoption of open access e-theses According to the respondents, better communication approaches will help in overcoming hindrances to the adoption process. The participants discussed the willingness of those in different groups and positions could be changed through communication.

5.8 Academic disciplines

Academic discipline was believed to have an effect on the adoption and use of open access e-theses at academic institution, as it plays an important role in the willingness to adopt. The interviewees discussed differences in the norms of disciplines and indicated they have the potential to slow down the adoption process, although they were not seen as barriers. The interviewer asked the participants, ‘Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?’ One participant (AAK1) replied:

In my opinion, there are no real differences. Cultural or normative values may slow the process of adoption and affect the awareness of open-access e-theses. [...] However, I do not think it would affect it at the current time and age.

Another participant (AAK2, 20/12/2016 17:30-18:00) said “I think most if not all disciplines will be very likely to use and participate in the programme at the same level”.

However, another participant (AAP1, 03/11/2016 19:00-19:28) disclosed that researchers’ views could be a concern, stating “Some of our researchers believe that open access and free resources available online do not provide rich and valuable data or sufficient information compared with paid or commercial sources”.

This group usually perceived that differences in disciplines among researchers would not affect the perceptions and attitudes regarding the potential significance of open-access e-theses. However, they also noted that each groups’ unique culture in the context of their roles and functions and their different perspectives and ways of interacting have an impact.

Three of four librarians commented on the differences among disciplines. One (LKU1) stated:

I think, in technology, sciences and engineering, I think there will be more support for the idea [...], they perceive online sources as being faster and easier compared to other approaches, and they think that all materials will be easily available online. Some subject areas, like, hmmm, history, will be a bit less enthusiastic.

In the same vein, one participant from PAAET (LP1) stated:

Maybe the members in, like, Physics and Sciences – I think this idea will be appreciated and more accepted because they strongly appreciate any new technology that speeds up the process of research. This is because of the nature of these disciplines, in which they consider publishing their data more.

A participant from the Information Services Department at KU (LKU2) commented that “It would initially be easier to practice this type of programme, for example, in the scientific

fields. They have more research activities and they are more research oriented than other areas are”.

These comments reveal diverging points of view between the directors and librarians regarding the difference in disciplines. This is an important issue that should be considered, as it could cause tension that results in some disciplines delaying e-thesis development. This pattern appears to be socially constructed in the disciplines and relates to their current publishing norms.

Chapter 6: UK Interviews Findings

In this chapter, the interview findings that emerged from the UK academic institutions are reviewed. These findings detail the factors described by stakeholders in the UK who participated in the interviews.

6.1 E-theses

6.1.1 The administrators' and librarians' perspectives

Concerning the postgraduate administrators' perspective on open-access e-theses, three administrators at postgraduate schools at UK universities were enthusiastic about the idea. They agreed that it would promote the research being conducted at the universities and create a good impression of that research at academic institutions.

The data show that awareness of the potential benefits associated with an open-access e-thesis repository for research and the institution has increased among different management levels at the universities. Regulations and policies have recently been established to cover different aspects of scholarly communication and publishing. Perceptions concerning e-theses were identified as a positive factor likely to facilitate open-access e-thesis development at universities. A middle manager at Cardiff University (AAC1) said "The collections in the repository reflect the type and the range of activity at the university. It offers the best visibility both for postgraduate researchers and for the university". This statement reflects the administration members' perceptions about the role of e-thesis repositories, the quality of research at academic institutions and the benefits of open-access e-theses for researchers and the academic institution.

A middle manager at Birmingham University (AAB1) talked about the role of e-thesis repositories in providing insights for future research, saying:

It is useful to be able to discover the development of research in specific areas and as a source of information for proposing topics to potential candidates in postgraduate programmes or to suggest areas and things that might be read.

All five respondents from the librarians/repository member group agreed that open-access e-theses provide value to researchers and academic institutions. They emphasized that researchers would gain fast and easy access to research via repositories. One of the five participants from Birmingham University (LB1, 13/12/2016 15:00-15:31) highlighted this benefit, stating “It saves a lot of ill – travel and failures – to adequately check other people’s research (because it is too far away or expensive to retrieve, for example”.

A librarian from Cardiff University (LC1, 05/12/2016 13:00-13:44) mentioned that a repository is “much quicker and easier to search than printed material. [It provides] speed and convenience”. She continued, saying:

Also, it could be as a tool that reflects on the university rank, it will increase the number of people who will access the university website, so more people will be able to know more information about the PhD programmes in the university, maybe and read more publication of the university, yes, I think there will be some advantages for the university.

One of librarians/repository members from Aberystwyth University (LA1, 12/10/2016 15:00-16:00) stated:

I think it is important the university continuous that process in part because a lot of people look it particularly a print thesis because they are doing a PhD and they need to see what one looks like so that’s quite a basic thing.

Two of the five participants from Aberystwyth and Birmingham universities in this group indicated that e-theses are a good tool for postgraduate students to gain recognition in their fields by gaining exposure for their work and research. One of them (LA1, 12/10/2016 15:00-16:00) stated:

It is useful as a way for research students to access each other’s work across the world, and for institutions and countries to share their research, especially research that is not published (often because of things like negative results, changing career paths or lack of publisher interest in certain areas of the world) and not free to access when it is.

The same participant (LA1, 12/10/2016 15:30-16:00) also said:

With open-access compliance for staff publications, it has become more honed. Getting staff to share their work is much harder than getting students to – the former aren’t necessarily against OA, but it isn’t part of their work ow. For research students, it is

just another step in getting the PhD, so on the whole, people are quite happy to share their work and like the fact that EThOS harvests our repository.

Another participant (LB1, 13/12/2016 15:00-15:31) remarked on the value of the repository for librarians, stating:

Other practical level for us as librarians, needs, we no longer have to go and that volumes added [...] and stuff that people to read, the improvement in access for the researcher want them to read it, this enormous, the number of downloads from the repositories and from Ethos and those kinds of services very large, and there is an interest that people reading that.

6.1.2 Postgraduate students' and academics' perspectives

The data on academic staff perceptions shows there are some positive views on open-access e-theses and repositories in general. Seven academic staff members were interviewed to discover their perceptions and concerns regarding open access e-theses.

Five of the seven participants commented on the value of e-theses and repositories for both researchers and the community. One participant (ASM1, Finance) stated:

Well, I think it is really good for also non-academic institutions as well, because academic institutions normally would have subscriptions to most journals and then directly download stuff, but if you working in private sector doing business which a people that need for a cooperation then those people they can find you a lot easier I guess if the article in open access and then when they google it they can look at it and have an idea what you are doing exactly and can search you directly.

Another participant (ASC1, Computer Science, Health Informatics) mentions the value of open access e-theses as stating: "Very useful. I like to be confident that I can perform a comprehensive search for information very quickly. I don't want to expend lots of energy and time searching for material."

The other three participants commented on the benefits of open access e-theses for the university and for research. One (ASO1, Architectural History) said:

Open access offers various benefits, such as it provides wider access, saves time, is comfortable, anytime access, free of cost. It is a great way of finding out what other scholars have studied, what their approach is, links to sources or other scholarship that applies to my own work.

Another participant (ASUCL1, Building Physics, Pollution and Health) said “Open access idea and repository is good idea, yes indeed, and some benefits could be gained by adopting it, for example, electronic theses good for the university to enable show of the quality around research”.

Two of the participants talked about the open-access e-theses repository benefit of research sharing. One (ASA2, Business and Management) stated:

Increase research sharing so, by allowing people to access, request publication and dissertations remotely, this will increase sharing this work so if I found something interesting for me and I know someone if interested on the same topic, I may share the link with him and ask him to read it, yes it will increase sharing.

Another (ASA1, Economics) stated:

Yes, I think it is a good idea overall, because not only for us academics but also for students, so if you have students, you can direct them to go there and check others, I think that it always good that you can go back and see what other people have done and get some ideas, and then have clear idea how can you structure things, what a good dissertation is, I always advice students to go and look, not for undergraduate students I think it is for PhD student is very important. They need to have a good idea of what PhD thesis is, looking, basically what I do with my students, to show them how it is look like, the structure of the thesis. Most of them have not seen any proper dissertation before, for them it is trickier and need something to guide them. And I always advise them if you need more you can access online which is good specially for PhD students, they can look other people theses.

Another participant (ASB1, History) mentioned the opportunity for collaboration between researchers, stating:

It is good as well you have a good overview what people are doing in the university and looking to the different of PhD student and knowing what kind of research is taking place which always good to engage, have a cooperation with students as well.

Regarding the postgraduate students, six of the nine participants commented on the value of open-access e-theses. One (PSA1, Information Studies, 12/9/2016 16:00-16:56) said that e-theses would help him and other researchers gain access theses and dissertations easily and quickly. This participant stated:

You asked me about adopting open access theses, I think it is advantageous for me, yes, because I think it will allow me to access more digital content, digital theses more than before, you know that the theses in the traditional form are available only at the library, by accessing these theses via Internet, and by the repository, this aids me to find more theses, and downloading them in my computer and reading them, so it is good for me.

Another participant (PSA5, Education) said:

I think if it would be widely available... Ahh very much, because traditionally, you couldn't get copy of PhD theses and university wouldn't send them, so you will travel across country to see them. Of course, some universities still have that policy.

The repository was seen as a valuable tool for collaboration. One postgraduate student (R102, Public Health, UCL) stated:

I used an e-theses repository to read the PhD theses of two professors who I altered collaborated with. It would have been a lot more difficult to engage with their work without it, [...] Very useful when searching for specific work on someone you would like to work or collaborate with, as well as understand previous scholarship at the university.

An online survey participant (R146, Psychology/Cognitive Neuroscience, p. 914), an alumni of Birmingham University, stated:

I used it to check other thesis in my field, general form & structure. I uploaded my own this on it (as a requirement by the university). I got a couple of academic spam emails regarding the thesis since then (but that is the same with journal articles). As the contents of my thesis are published in journal articles, not to relevant for me ... but overall, good to have a reference for your thesis and certainly crucial for fields where theses are not publication-based. No breach of expectations.

Another of the nine participants (PSA2, Business Management) stated:

Online I think online is really helping and safe time, and you can access it from anywhere in the world, especially now, where traveling that much ... I can always check online and find what I need, and you can have everything you know gather from a single place so whenever you need find something you can easily it is easier than if you go and physically trying to find out in the library.

It was also felt that researchers and PhD students could use this programme as a starting point for research and to see what is going on in other places by looking at the work of other PhD students. One participant (PSA3, Physics) stated:

Yes, this is a good idea, you really need to be aware specially when start a PhD, what is other done, there is enough information, you keep, and then it always good, I mean for us in Aberystwyth knowing what other people in Aberystwyth are doing thing by keeping track of other theses.

Another participant (PSKC1, War Studies) said:

It depends entirely on whether a thesis has been completed on the topic I want to find out about. If so, it can be extremely useful, both as a starting point for composing my own list of references (based on the bibliography), and for supplying ideas about analytical frameworks that might help me situate the information in a systematic way.

Two of the students described the value of open-access e-theses as a tool to help shape research work. One (PSCL1, Political Science) said “Very, for substantive knowledge, but also to get an idea of different templates for theses”. Another participant (PSA5, Education) studying modern history said “I use it just to see what people covered in my area and to see if there were relevant bits that could quote”. An online survey participant from Birmingham University (R146, Psychology/Cognitive Neuroscience, p.914) said “Very useful for checking general thesis requirements, in my field not particularly necessary for literature review - all is publication-based”. Finally, a librarian from Birmingham University (LB1, 13/12/2016 15:00-15:31) stated:

I don't think they do, other than what I said earlier, where [...] sciences [are] generally [...] more in favour of open access. I think they see the thesis as more [of] an obligation, like [passing] an exam. The university says they have to [make] the thesis available online.

Some participants might have perceived the use of the e-thesis repository as a requirement rather than as a tool to help improve research and scholarly communication. This can create pressure for postgraduate students, particularly when they intend to produce research papers to advance their careers.

6.1.3 Prior expectations, feelings and thoughts about open-access e-theses repositories

Previous expectations regarding the adoption of e-thesis technology, namely the degree to which members perceive that the infrastructure and resources are adequate to support use of open-access e-theses and whether the tool will meet their needs, play a significant role. The researcher asked the following questions: ‘Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?’ ‘In your opinion, what are the challenges that impact the adoption of open-access e-theses repositories?’ ‘How does this affect the adoption of a repository?’ One respondent from Aberystwyth University’s Graduate School (AAA1) said “Because it [is] quite early since it has [been] established, there is an awareness [of] the acceptance of the e-theses repository, and it [is becoming] an essential part of [the] PhD process. It is firmly embedded”. This is in line with

the librarians' views. One librarian from Birmingham University (LB1, 13/12/2016 15:00-15:31) stated:

Yeah [...] we had a requirement for students to deposit [their] e-thesis for ... this is [the] seventh year. So, it's [...] pretty well established that, in early days, we need[ed] it to do that kind of work, but [...] now, it [is] just [...] expected. Everyone knows that is [the] requirement.

Postgraduate students were influenced by their perceptions of the availability/sufficiency of the infrastructure and resources, how the academic institutions support users, their familiarity with the e-theses process and the effectiveness of communication. One online survey respondent from Aberystwyth University (R52, Information Studies) stated "While every repository is different, so my experience too. There are some repositories are useless, and I consider them just like catalogue, meanwhile there are some are really useful since accessing you for full text".

Knowledge of open-access e-theses and repositories and the effort involved in using them were thought to influence the intention to use. One online survey respondent (R81, War Studies, p. 823) said "I've always known my university has this since before coming here, anyway". Another participant (R150, Political Science) said "I have known since undergrad[uate]". Another postgraduate student (PSA2, Business Management, 30/08/2016 12:00-13:00) states:

Not exactly, we are using the primo that same software that is used for searching articles or some books, or something like that, so that is same central things, it is very simple method put people not willing to participate there.

Two of the online survey participants talked about the quality of the repository contents when the researcher asked 'What important concerns do you have about an open access repository?' One respondent from Cardiff University (R139, History, p. 1728) replied "Good but not have many good references as most of good quality and high standard papers or articles are existing in commercial or publishers' sites which required access if you do not have one". Another online survey respondent (R60, Library Studies, p. 368) said "One concern is that if a

publisher makes a profit from accepting papers, [...] might tend to accept anything, rather than selecting based on quality”.

A repository member from Birmingham University (LB1) stated:

Ahh there is an expectation that everything will be readily available on the web, Yes, I think, um, the sciences, [...] more [have] adopted open access. We found applied sciences, medicine and some part of engineering, actually, even across [...] engineering there is a quite [a lot of] commercial research done, and so they – commercial sponsors – they [do] a bit more.

A librarian from Aberystwyth University (LA2, 14/10/2016 11:00-11:50) talked about the changing situation in academic libraries, stating:

Probably now, in most subject areas, people expect to find journals and [journal] articles and other materials online, and as more people adopt [...] sharing platforms, such as academia, Mendeley and many [...] other sharing platforms, it become[s] more accepted that [you] make your work available. That makes things easier.

Another participant (PSKC1, War Studies) said “Privacy, clash between open-access publication of results and submission for publishing in journals. Some students will think that will reduce their opportunities to publish if they publicly share their thesis via the university repository”. An online survey respondent from the University of Birmingham (R130, Theology/Religion) stated “I’m not sure if it gives me less control over my work if I also want to publish it as a book and/or as journal articles”. A postgraduate student at Aberystwyth University (R28, Marketing, p. 250) commented, “No money going to publishers, so they may be more reluctant to publish academic research”. A PhD student from Birmingham University (R146, Psychology/Cognitive Neuroscience) stated:

None for me. It can be problematic if material should still be published elsewhere afterwards, but that is why in my institution one can put an embargo on open access (do not know for how long this is possible though). Apart from that I do not see any concerns about research being freely available for everyone’ ... Maybe copy-right problems if published elsewhere.

One education student (PSA5, Education) said “I think intellectual properties, the student wants to protect the work, because if you go online a lot of people can extract from that, I want to do some publications from my work”.

The data illustrate there was tension with respect to how open-access e-theses are perceived and consequently implications for the academic institutions and the different parties. Differences were mainly apparent between the administrative and academic staff and the postgraduate researchers. The administrators generally consider the adoption of e-theses to be positive initiative with many potential benefits. The academic administrators shared their views as to what would be beneficial for the institution but did note possible consequences for postgraduate students. In contrast, the academic staff and postgraduate researchers expressed some concerns. Nevertheless, they recognized that open-access e-theses would facilitate their research and that there are many potential benefits. One concern with e-theses related to IPRs, which caused some tension between the different parties.

6.2 Policies

6.2.1 Administrators’ and librarians’ perspectives

There are some policy implications regarding open-access e-theses in terms of programme development. These need to be dealt with through open communication, discussion and positive interaction. A Birmingham University administrator (AAB1) talked about the effect of funding bodies open-access e-theses at universities and stated: “In the case of the PhD student [...] funded by [...] research councils, [...] the student often must make the thesis available online for other researchers during a particular period of time and based on the policy”. A participant from Aberystwyth University (LA1, 12/10/2016 15:30-16:00) also noted the role that government or public agencies play in terms of funding, stating:

Yes, we do, yeh I think from the university point of view as an institution I think they need to show every institution need to show what research is doing, not just to get more research in but also because [...] in a sense it is still publicly funded so although a student will left to pay to do the PhD, they sometimes have funding but they also in the publicly funded institution and so that work should be made available in some way ...

On top of that you have got a policy level at the national level so all of research councils who funded PhDs [IBERS, ESRC, HRC and others] they insist if they are funded your PhD it has to be openly available within a certain period and the longest embargo period that they will allow is a year, so if we offer a two-year embargo for somebody say in the history department and they have had funding from AHRC they will not be comply with their own funder if they take two years, so many different things out there, which is why we possibly proposing should we just put a year.

The participants in this group highlighted the role of external funding parties in policymaking for e-thesis development and repositories. One participant (LB1, 13/12/2016 15:00-15:31) stated:

Our team has grown a lot in recent years, we just start[ed with] two of us doing some [...] repository [work part] time, and [...] we have now [a] team [...] with six people looking [after] the repository, doing the metadata and uploading the thing[s], [providing] advice for the researchers. [This is] not just because [of] the e-theses. [...] The increases [are] mainly because of RAF and the funding council open access requirement.

A participant from Aberystwyth University (LA1, 12/10/2016 15:30-16:00) stated:

So that [has] become essential because of staff publication because of the HEFCE policy for the next REF. We cannot do this any longer, you can't have an option, so every university has one, and if they haven't, you know, some people have been doing D-space, some more [have] been doing e-print, and now a lot of us [are] moving to [the] CRIS system. So not necessarily repository. There used to be – and in a lot of cases e-theses and the staff publication [were] stored in separate systems, but you might access them [on] one, you know, kind of discovery layer.

Finally, it is important to consider another issue related to policy development. Some of the participants talked about the procedures and tools needed to support the project. One participant (LA1, 12/10/2016 15:00-16:00) stated “Getting the submission process for print and e aligned, [the] cost of software development and support and ongoing maintenance – people think, when it is digital, it looks after itself, but digital is far more expensive than print!”.

6.3 Infrastructure

6.3.1 Stakeholders' views of the organization's infrastructure

a) Human infrastructure/resources

Three of the five participants felt that the availability of staff and ongoing maintenance are important issues in the development of e-thesis projects. They stated that it is important to have the required repository staff to deal with open-access e-theses procedures and with repositories in general. One participant (LA, 12/10/2016 15:30-16:00) said “We don't have enough technical support to keep it working properly – and meet my own and users' expectations – but it is an important compliance mechanism, as well as a window to our research”. Another participant (LB1, 13/12/2016 15:00-15:31) described the staff and cost requirements as follows:

Our team has grown a lot in recent years, we just start[ed with] two of us doing some of repository [work] parts time, and [...] we have now [a] team [...] with six people looking [after] the repository, doing the metadata and uploading the thing[s], [providing] advice for the researchers. [This is] not just because [of] the e-theses. [...] The increases [are] mainly because of RAF and the funding council open access requirement.

Support from the university and the high-level administrators was discussed by the librarians. One librarian at the University of Manchester (LM1, 12/12/2016 11:00-11:30) stated “The university and the research committee the directors of research are in favour principles that open access both for publications and theses and data and everything else and, so we have high level support in principle”.

Administrators at both Birmingham and Cardiff universities observed that familiarity with e-theses, experience, training and support influence the perceptions of researchers. One participant (AAB1) said “We also provide training and support for postgraduate students and work to arrange workshops in order to enable students to develop their understanding about e-theses and open access”. Another (AAC1) stated “There are some [...] sessions and face-to-face instructions run by the library; this is an important part of the PhD research programmes

at the university”. These responses fairly showed that the staff that dealing with this type of procedures of open access e-theses was seen positively offered. One interviewee (ASM1, Finance) said “Yes, I will do, to be honest normally it be solved by the library people, [...], yes, and then I can always call them if there is any problem”.

The quotations above show the participants perceived that their universities are providing a good level of training and support; in other words, the universities had the required infrastructure and resources for the e-thesis programmes. However, it is important to consider other groups in the training provided by the universities to avoid any conflict that could delay open-access e-thesis development. For example, only one participant sees that the staff that dealing with this particular procedures of open access e-theses was an issue. One online survey respondent (R57, Psychology, p. 575) said “I have in some occasions contacted them. They took a month to respond and then they were asking for information I had clearly already provided. They never got back to me again”. Overall, these groups perceived that the universities provided the proper infrastructure necessary software to support and facilitate the development of open-access e-theses programmes.

b) Physical infrastructure/resources

In terms of physical infrastructure, the participants believed that their institutions have the required infrastructure and equipment necessary to support e-theses, even though the availability of technical staff was identified as a concern. One participant (AAC1) said “I think we have a stable system and a dedicated team for such programmes; for example, they are always there to sort out and solve any issue [...] related to the system”. The Birmingham University Graduate School Administrator (AAB1) stated “We have tried to make the submission processes [for] e-theses as [smooth] as possible and [...] straightforward”. Students’ perceptions of the level of complexity of procedures and processes was not seen to influence the development of e-theses by this group, something that the literature on the adoption of technology cited as an area requiring extensive improvement.

Regarding appropriate procedures, a participant from Birmingham University (LB1, 13/12/2016 15:00-15:31) stated:

No, it [is] very straightforward. There is a form, and we deal [with] most of [the] deposit[ing] for the student[s]. They could login to the repository and create a user account and upload their theses, but only [a] very small number do that. Most students email those theses, you know, send it to Dropbox or something like that, and we create the metadata and upload the theses. But what [...] we would like to do is [use] a CRIS system, a pure CRIS. We would like to be able to integrate that better; we could, in theory, obtain information about students' supervisors' degree[s], title awarded date and integrate that, but that has not happened yet. But [...] we are hoping to do [that] next.

Two of the administrators indicated that institutional members' appreciation of open-access e-thesis programmes would be enhanced if the institution fostered awareness. One administrator (AAB1), a middle manager at the Graduate School at Birmingham University stated "[It is important] to access scholarly content and ensure that it is easily accessible to those that require access. [...] People who are to have their thesis published [in] a repository [should be] aware of what that entails". The other administrator (AAA1) from Aberystwyth University said "One of [the] ways to address the lack of awareness of repositories is by including information about the e-theses and repositories in graduate research workshops and skills training".

All five librarians/repository members stated that support by the university is important in e-theses development. One participant from the University of Birmingham (LB1, 13/12/2016 15:00-15:31) talked about postgraduate students' level of awareness, stating:

Yeah [...] we had a requirement for students to deposit [their] e-thesis for ... this is [the] seventh year. So, it's [...] pretty well established that, in early days, we need[ed] it to do that kind of work, but [...] now, it [is] just [...] expected. Everyone knows that is [the] requirement.

Three of the five librarians talked about the significance of having the appropriate equipment/software to run the e-theses programmes and about the level of complexity. One participant from the librarian/repository member group at Aberystwyth University (LA1, 12/10/2016 15:00-16:00) stated:

We have not had any problems with accessing because we commonly using D-space and that is upgraded every often we are going to be moving to pure portal because it is

a CRIS system and the issue will be if we go e-submission as the university and will then be the only copy and I think we have, I have raised it and we then will have to be more responsible for that, we have this dilemma every often in D-space, to say should we keep taking the print if we got an e-copy, because in theory you take an e-copy so you don't need a print but our print copies access quite heavily as I said, we think the student probably get one to see what its looks like.

The same participant (LA1) also talked about the system meeting expectations and standardization requirements, stating:

And I think because ours are, ours a, the workflow has been, because we had Cadair I think it had a quite strange, well not strange, it was going for a since of a time, but now it feel strange, I can't have idea what goes on it a part of theses because everybody work nationally and internationally on theses so it has been a much longer movement than open access from staff publications, so it's fairly embedded I think and that I suppose what I am saying this is from university point of view it is fairly embedded thing and because a PhD thesis, ahh,... [part] of the exam, the part of administrative, a central of the administration of the university in the way that nothing else is. So it's hard for us to change any policies because it connects so many people across the university.

When discussing policy concerns, a participant from the University of Manchester (LM1, 12/12/2016 11:00-11:30) alluded to the importance of copyright issues and the training provided in raising awareness on this topic, stating:

Yes, we [...] have quite close links with our graduate school, so we do some general planning on organis[ation] and open data, but also particularly on copyright and on research methods. [...] I think, going back to your question about the possible problems that we might have, one of these issues is [...] sometimes students put materials into their theses that they really should not, you know, in terms of some problems, because [...] of the copyright or sensitive [data] that might be problems. So, we try to address that [by] working with [the] graduate school and offer[ing] training for that kind of issue, [so] students are able to prepare their theses for making it open.

A participant from Birmingham University (LB1, 13/12/2016 15:00-15:31) described the effective communication methods and training available at the university for students regarding to e-theses, stating:

We have an induction session [...] for first year, and then we have lots of things, like we have a summer school and ad hoc workshops. [...] We try and take [advantage of] as many of these opportunities [as we] possibly can, because quite often, students need to be aware of these issues right from the beginning, and they can go through [the] right kind of ethical approval process. They can think about how they want to, perhaps, [...] narrow their data, they can think about what they would, ahh, and make it available, so [they] get it early.

Regarding the librarians and repository members' perspectives, a participant from Aberystwyth University (LA1) mentioned the training related to e-theses offered by the university to postgraduate students and supervisors, stating:

And we also do, at, we do a one for PhD supervisors, and again there is a longer supervisor session and a longer final year session. Because I think is a PhD supervisor we need to talk to more because they know what is expected, because sometime like sensitive subjects in a conflict area or something like that. And then I think the PhD supervisor is supposed be put a form of request before the thesis is submitted. So there are few stages were involved in training.

One of the five librarians (LA1, 12/10/2016 15:00-16:00) expressed concern about the intention to reduce or change some procedures for e-theses training, stating:

I have got a feeling the postgraduate workshop now it does not mandatory any longer, so I do not know how it is going work, so we have got to work possibly combining some of our work and the ethics work into session then may well be mandatory because otherwise we might miss people for the whole of PhD.

This could cause conflict between the groups as it is important to have proper training and to ensure there is not a lack of awareness.

One academic staff member (ASA2, Business and Management) commented on the level of complexity of training and instructions provided by the academic institution, stating:

I think you need that, in principle it should not be a problem you can follow the website, I think that in light of how people busy people are and you know many things you need to do I personally find it a lot more easy this is how to work with these tutorial that you go there and there is a kind of workshop, say what do you want, how to use, and I think that works better for students as well this is what I found whatever I am giving them instructions and direct them to blackboard for information there are quite easy.

One participant (ASA1, Economics) talked about the availability of infrastructure and resources, stating:

My experience on infrastructure and resources at the university so far it is very, some consultations with people for example here in the SMB we were using a software and we need to renew our contract with them and have more licenses also for undergraduate students and the university responded very positively with that.

6.4 Communication

Communication plays an important role in the e-theses diffusion and increasing awareness, particularly in terms concerns about IPRs. Untrusted parties need to address individuals' fears if they are interested in participating in the development of open-access e-theses and alleviating any conflict. IPRs and copyright issues are key factors affecting the development of open-access e-theses at academic institutions. The lack of awareness and trust could be improved through effective communication among the various groups involved, thereby reducing any concerns. The subject of trust within the academic institutional structure was mentioned by an online survey participant (R81, War Studies, p. 823), who stated:

As a PhD student, I use a repository which has already been constructed by my institution, and I have no concerns with that because I have confidence in the professional and ethical standards applied while building the repository (e.g. respecting students' requests to embargo their research for a certain period so they can publish from it themselves before it becomes publicly accessible).

A middle manager from Birmingham University's Graduate School (AAB1) stated: "It depends on [...] actually, the process involves several activities throughout several stages at different institutional levels. [...] Within these roles and structures, an environment of confidence could be enhanced, which facilitates the interaction".

A high level of confidence could help to create an effective communication process among the involved groups, which would influence how they interact. According to one participant (AAB1), "Well, more interaction would lead to more understanding, and this, in turn, would boost their confidence [...] in and out[side] the groups. [This would] more likely lead to shar[ing] information with people they can rely on". Because trust is important in establishing and maintaining positive relationships, the perception of distrust can result in barriers that further divide the different parties involved.

The issues of communication, training and resources at the institutions were raised again when one participant talked about the training for the repository and other services provided by the institution. This participant (ASA1, Economics) said:

I had some tutorials about open access, and the lady from the library, she always very helpful, there was a case when first introduced a Spire she came [...] and was actually one-to-one session when she came to my office.

Another participant (ASO1, Architectural History) said "The library provides seminars about their services, they offered a library induction, orientations, and online help too". Another (ASC1, Computer Science, Health Informatics) stated that they "Received a library session at the very beginning of a master's course which was interactive involving search exercises across a number of different repositories". Yet another (ASUCL1, Building Physics, Pollution and Health) said:

To change it [...] can be faced [by providing] workshops, seminars etc. face-to-face interaction and meeting with members and decision makers... the role of project leader or in general the library in the case of open access implementation in the institution is important to provide the right information and enough details for them which can influence their attitudes and views. That can help to improve and change their culture.

The interviewees fairly showed that communication by staff that dealing with this particular procedures of open access e-theses was seen positively presented. One respondent (ASM1, Finance) said “Yes, I will do, to be honest normally it be solved by the library people, [...], yes, and then I can always call them if there is any problem”.

Interactive communication in relation to training impacts the way people perceive the support provided by academic institutions. One participant (ASA2, Business and Management) stated:

I think you need that, in principle it should not be a problem you can follow the website, I think that in light of how people busy people are and you know many things you need to do I personally find it a lot more easy this is how to work with these tutorial that you go there and there is a kind of workshop, say what do you want, how to use, and I think that works better for students as well this is what I found whatever I am giving them instructions and direct them to blackboard for information there are quite easy.

Another participant (ASA1, Economics) mentioned the impact of communication on perceptions regarding the technologies adopted by the institution, stating:

My experience on infrastructure and resources at the university so far it is very, some consultations with people for example here in the SMB we were using a software and we need to renew our contract with them and have more licenses also for undergraduate students and the university responded very positively with that.

The issues of communication and training at institutions were raised again when one participant talked about the e-theses training received. This participant (PSA1 Information Studies, 12/9/2016 16:00-16:56) said:

When I arrived at first days of my postgraduate study, the library has a seminar and workshop, they taught me how to use their system, e-theses system, they told me about Cadair which includes e-theses of Aberystwyth University, so the university has the responsibility, or the library it has the responsibility to teach the students how to use these things.

Another participant (PSB1, Psychology) said “Just basic instructions [...] how to upload the thesis and some legal/copyright points. It is only uploaded after completion of the PhD (i.e., viva and corrections), which should ensure that requirements are met”.

Two of the online survey participants also talked about the importance of communication. One participant from the University of Manchester (R188 History, p. 1707) said “Do not receive any workshop but in general if anyone has a question about any service in the library we can chat online with the support staff in the library”. An administrator at Cardiff University (R192 Computer Science and Informatics, p. 1745) commented about open access, saying “marketing we still suffering with providing the idea to all members”.

Another participant (PSA2, Business Management) also highlighted the impact of effective communication, stating:

so, definitely that is call, word of mouth, so that is the marketing but again I will go back to the same thing that there is no awareness there because they do not know there something, and there should be some sort of workshops and the awareness between the department in the university level, some sort of poster some sort of marketing, so it really helps upcoming researcher.

Only one online survey respondent (R57, Psychology, p. 575) believed that the staff dealing with open-access e-theses were an issue. This participant said “I have in some occasions contacted them. They took a month to respond and then they were asking for information I had clearly already provided. They never got back to me again”.

Communication impacts the level of knowledge about and awareness of the repository. One participant (PSA1, Information Studies, 12/9/2016 16:00-16:56) stated “I know some people who are on their final year of their PhD and they haven’t used the university repository before, [...] maybe because they are not trained enough to use it”.

The perception of resource availability and with the simplicity of process were mentioned by an online survey participant from the University of Oxford (R177, Applied Mathematics, p. 1598). Regarding the lack of awareness about e-theses and repositories in general, the participant stated “I never knew or used e-theses repository. All the thesis I used I needed to

ask for hold to read them. All the thesis I read were not e-theses, so I needed to order them from the library”. A PhD student from Aberystwyth University (R15, Management, p. 131) said “Never used so can’t say about expectations, never used it so have no idea. I have not considered this”. Finally, a PhD student at Cardiff University (R65, Information Science p. 584) said “None exposure, first time I hear about this”, and an academic staff member at UCL (R74, Built Environment, p. 686) stated “Never used, I don’t know, I’ve never used an e-theses repository”. Some of these responses might be due to the misunderstand of the functionality of the institution repository which communication play important role to clarify such issues.

6.5 Informal social influences

The administrators focused on communication in discussing the adoption and development of open-access e-theses. They stated that communication and listening to other groups would help in understanding and facilitating the adoption and in making decisions. However, the role of informal social influence on the adoption process is also important. When the participants were asked ‘Do structures or relationships play roles in the adoption of open-access e-thesis repositories?’, the respondents stated that the structure of an informal social system and interaction can facilitate or obstruct development. A middle manager at Aberystwyth University (AAA1) said “Yes, there [has] been much [...] effective communication and responding to others’ concerns, giv[ing] us the ability to understand their concerns and to solve issues relevant to the development of the programme in the university”. An administrator from Cardiff University (AAC1) stated that “Some forms of interaction may [be] involve[d] in the process to find any issue and to make sure that it runs as expected”. A participant (AAB1) from Birmingham University gave a similar account concerning the role of interaction and communication, stating “What we actually do is engage with people or relate with those who will be involved; it is important to see how different people would perceive it and respond”.

Researchers would be more motivated to participate in open access and e-theses repositories when they are familiar with the system and have heard about it from trusted friends or peers. One online survey participant (R81, War Studies, p. 823) stated “I’ve always known my university has this since before coming here, anyway”.

As mentioned, some members in different groups expressed concerns about IPRs and other ethical aspects associated with open-access and e-theses policies. Many have insufficient information on these issues, which shows the vital role of informal interactions to increase trust regarding open-access procedures. Six of the nine postgraduate interviewees expressed concern about this. One participant (PSO1, Applied Mathematics) stated “I believe that intellectual property is the biggest obstacle to implement of the system and students will not accept it only through the guarantees given to them by the university for not illegal uses of their research”.

The level of trust and confidence regarding open-access e-theses can lead to some conflict between parties. However, this can be avoided through communication between the groups to increase awareness and understanding, especially in terms of intellectual property concerns.

The impact of informal social structures was noted by one participant (PSKC1, War Studies) who described how relationships sometimes affect awareness and the process of implementing e-theses technology. This participant stated:

I have searched for specific people whose work I’ve been told about by peers or supervisors to find it in the repository. I was told the work would be germane, and it proved to be so. My own searches from scratch have rarely turned up anything of interest, primarily because people haven’t written theses on the questions I was looking into at the time I tried to use the repository.

6.6 Academic disciplines

With regard to policy development, two of the three administrators described the issue of the depositing policy and its implications for the disciplines and for research. The researcher asked the following questions: ‘What is your opinion of the institution’s open-access e-thesis policy and regulations?’ and ‘Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?’. One administrator from Aberystwyth University (AAA1) stated:

It is important for us to understand the concerns of some students and of some disciplines about e-theses’ arrangements. For some, it could produce challenges for

using a particular scheme and policy; actually, these are often about [the] appropriate policy [being] applied. [...] PhD students must deposit electronic [copies] of their doctoral theses into the repository, and they can restrict access to their theses for a certain period of time.

This issue was also perceived by an administrator from Cardiff University (AAC1), who said “In some cases, a permanent embargo [is] applied [...] due to copyright issues and sensitive content”.

Concerning norms and the influence of the different values of the various disciplines, a Birmingham University administrator (AAB1) said “Some subject areas use different types of materials in their theses and dissertations; it does vary according to the subject area. For example, in Art, it is quite often [that] people consider and [have] concern over [...] copyright”.

The librarians also described the influence of norms on e-theses and policy. The responses showed that PhD students would be especially pleased and is becoming overwhelming when the researcher asked ‘Do any cultural values, norms or barriers influence the implementation of open-access e-theses initiatives in an academic institution?’ However, like the other groups, they also perceived another influence in this matter. The librarians’ responses related to the publishing opportunities and benefits of e-theses.

The researcher asked the respondents about the concerns and challenges that affected the development of e-theses. Three of the five participants thought that aspects related to policy can influence the development of open-access e-theses. One participant (LB1, 13/12/2016 15:00-15:31) stated:

Yes, we [...] have quite close links with our graduate school, so we do some general planning on organis[ation] and open data, but also particularly on copyright and on research methods. [...] I think, going back to your question about the possible problems that we might have, one of these issues is [...] sometimes students put materials into their theses that they really should not, you know, in terms of some problems, because [...] of the copyright or sensitive [data] that might be problems. So, we try to address that [by] working with [the] graduate school and offer[ing] training for that kind of issue, [so] students are able to prepare their theses for making it open.

An e-resources and serials librarian at Aberystwyth University (LA2, 14/10/2016 11:00-11:50) mentioned the copyright policy issues, stating that there was a focus on:

Protection of the author's copyright. Also, occasionally, theses contain information that is commercially or politically sensitive. In these cases, the print version is locked away and access is embargoed; [a] similar functionality would need to be available in the online repository.

Two of the five librarian respondents described the implications of policy and embargoes. One (LB1, 13/12/2016 15:00-15:31) stated:

Yes, we do. The reasons are usually because they [are] preparing extra publications, and so we tend to accept two years from the degree [being awarded] if they want to extend that. Anyone can request approv[al] by their supervisors and also by the head of the department and also by the library, and depending on the reasons they give, from the library point of view.

Another (LA1, 12/10/2016 15:30-16:00) mentioned the copyright issue, stating:

I think most institutions have a repository. The concerns should be about not having one and not supporting it properly. We offer two-year embargoes for theses if people are worried about publishing their work, and [we] will permanently embargo theses for third-party copyright and personal data breaches and any IP or contractual issues.

The importance of awareness among the postgraduate students and staff members concerning copyright issues and the related implications was also addressed. One participant (LA1, 12/10/2016 15:30-16:00) said "And they need to be aware of copyright issues and intellectual properties, but I think these should be resolved by the university, and overall, should [...] not [be] an argument against open access".

However, the perceptual differences among different disciplines was still seen as a barrier affecting the development of e-theses and open access. A librarian from the University of Birmingham (LB1, 13/12/2016 15:00-15:31) stated:

Yes, I think, um, the sciences, [...] more [have] adopted open access. We found applied sciences, medicine and some part of engineering, actually, even across [...] engineering there is a quite [a lot of] commercial research done, and so they – commercial sponsors – they [do] a bit more. Their research [is] available, they have [an] embargo on access in order to protect the commercial interest of commercial sources. And [...] the art[s] and humanit[ies] are [a] bit more conservative. They still think of their thesis as almost an early version of a published monograph; they want to keep the work.

The same respondent added:

I don't think they do, other than what I said earlier, where [...] sciences [are] generally [...] more in favour of open access. I think they see the thesis as more [of] an obligation, like [passing] an exam. The university says they have to [make] the thesis available online.

Librarians also indicated the impact of publishing opportunities on researchers' perceptions of open-access e-theses. One (LA2, 14/10/2016 11:00-11:50) stated:

A high time and cost involved in hosting the repository. In addition, there may be opposition from authors, who might think that making their thesis freely available online might make a publisher less inclined to publish that research as a book. Thus, we have procedures in place to deal with e-theses, which include requesting permission from the author to publish the thesis electronically.

In the same direction, LC1 at Cardiff University stated,

There is always [...] as you said, the differences between different disciplines. In general, the university and the research committee, the directors of research, are in favour [of] principles that open access both for publications and theses and data and everything else, and so we have high-level support in principle, so [for] confidential research, for example, we have [the] medical school and clinical data, that sort of thing. (LC1, 05/12/2016 13:00-13:44)

The librarian/repository member LC1, also states that:

Some subject disciplines are guarded about releasing research online. We have stepped up training and guidance for postgraduate students and supervisors to help them

understand how they need to pay attention to ethical issues, they should be doing this anyway, but there is still a culture that expects theses to be locked away. (LC1, 05/12/2016 13:00-13:44)

In addition, LA2 from Aberystwyth University perceived that, the situation is becoming changed, claiming,

Probably now, in most subject areas, people expect to find journals and [journal] articles and other materials online, and as more people adopt [...] sharing platforms, such as academia, Mendeley and many [...] other sharing platforms, it become[s] more accepted that [you] make your work available. That makes things easier. (LA2, 14/10/2016 11:00-11:50)

One of the five librarians LM1 from the University of Manchester, claims that differences in the cultures of subjects should be considered and taken in caution:

Well, usually communication with different disciplines is not the same, the way an economist perceive things will be different from the scientist, so we have to learn how to listen to all of them and we have to learn how to get to know what other people's perceptions of issues are. We have to deal with these challenges. (LM1, 12/12/2016 11:00-11:30)

The subject of varieties in norms and disciplines was arisen when the interviewees indicated such factors' potential to impact the process, although they were not seen as barriers to adoption but has some implications. The interviewer asked the participants, 'Do any cultural values, norms or barriers influence the implementation of open-access e-thesis initiatives in an academic institution?' the postgraduate student replied:

ASO1 indicate the concern of copyright as it could impact on the positive opinions about the e-theses programmes:

The main problem is copyright for images. Oxford University has a requirement to deposit theses in ORA but this requirement is new and they haven't really addressed the issue of cost of copyright for the student. As a consequence, virtually, all of the images used in the printed version will have to be redacted (ASO1, Architectural history).

Interactions within the group plays important role on the perception of individuals as it shows how these members structured and shaped, four of the seven participants in this group expressed that:

In our group we have few professors and normally they have more experience, so they can be consulted more efficiently on several issues. (ASA1, Economics)

She also mentioned that:

Yes true, but I mean the good thing about as like in business school is that we have these small groups so the economic group will meet and then we decide commonly, you know what we need, this is how to decide for software for example, we all though the old one we were using there is a bit [outdated] now the student will be benefited more form,,,,, and we did ask the head of school and then the university said yes for that. So there is a kind of group meeting so we decide on these things, normally that goes well, so there is a culture of collaboration among the teams and the next team has this meeting, so you will have the accounting, finance people meeting separately, there are several groups in our school. And we have a minute of what we have decided. (ASA1, Economics)

Academic staff perceived the influences of open access e-theses on the postgraduate researchers as it might have some effects on them through the limitation of their ability to publish in journals. In addition, they proposed ways to improve the awareness and participation in repositories as, one of online survey participants from academic staff indicates that:

In some disciplines it may prevent researchers work receiving the wider recognition it deserves by being published by and cited in prestige outlets. (R27, Information studies, Academic staff, Aberystwyth, p. 269)

Another academic staff proposed a way that to arise the participation and contribution in the repository by stating that:

I think it requires more options or ways to convince members to contribute in the repository and start use the system as it should, such as encouraging procedures or reward systems. (ASUCL1, Building physics, pollution and health)

The participant expressed that:

To change it [...] can be faced [by providing] workshops, seminars etc. face-to-face interaction and meeting with members and decision makers... the role of project leader

or in general the library in the case of open access implementation in the institution is important to provide the right information and enough details for them which can influence their attitudes and views. That can help to improve and change their culture.

Part of the complexity is due the nature of the culture that exists in the disciplines, norms and structure play important role on the perceptions of researchers in different disciplines, this concept emerged when the participants were asked, ‘Do any cultural values, norms or barriers influence the implementation of open-access e-theses initiatives in an academic institution?’

Well definitely, culture plus the department, like for example the business department or computer science or geography departments we are pretty used to computers but not with the art department because they are working, it is not the work that is, the nature, they have some other format, like movie, so which they put normally in the appendix , there theses it just maybe in 200 pages but the appendix includes such as movies, so they have some additional stuff, that normally they submit it in format of CD or something like that. So, I do not know about that, are they willing to put that over the Internet or how to link it or reference it, like a movie. So, there should be some sort of policy in order to give knowledge to those people also. (PSA2, business management)

Other participants show that aspects of special items and content in the theses such as films as well as opportunities to publishing would hinder the process and could impact the development of open access project:

Ethos requires filling a form but it is very useful. I have various embargo problem with Cadiar [...] Maintaining the system, making it user-friendly which I think it is worth doing (R165 Film, Cultural Studies TFTS, Aberystwyth p.1294).

In addition, another postgraduate student mentioned, I think intellectual properties, the student wants to protect the work, because if you go online a lot of people can extract from that, I want to do some publications from my work. (PSA5, Education)

Another two participants expressed concern regarding the copyright policies and publishing features when making theses electronically available:

Privacy, clash between open-access publication of results and submission for publishing in journals. Some students will think that will reduce their opportunities to publish if they publicly share their thesis via the university repository. (PSKC1, War Studies)

PSO1 from mathematics background states, “In my view, third party copyright material and the confidential information like personal information are the most challenges that make researchers hesitate to adopt or use open access” (PSO1, Applied mathematics).

However, three of the participants (PSB1, PSA1 and PSA4) show that no concerns regarding the policy aspects on the adoption or development of e-theses. particularly when the right policy in place and it will overcome these issues: one of them stated that “the Internet can be used to reserve the copyright of open access theses”. (PSB1, Psychology, 2/12/2016 11:00-11:45)

A postgraduate student claim that:

No, I think you have enough options, you can make your thesis available for everyone, or you can make it available after two years, you can make part of it available, so they give you the option, and you select whatever you want. (PSA1, Information studies 12/9/2016 16:00-16:56)

In addition, a student claims that: “Not really, sometimes an author might want to set an embargo on their thesis for a couple of years so that they have time to get their papers out before competing labs see their work, but I think the repositories already allow you to do that”. (PSA4, Computer Science)

Other participants expressed concern regarding the publishing opportunities when making theses electronically available such PSKC1 when argued:

Privacy, clash between open-access publication of results and submission for publishing in journals. Some students will think that will reduce their opportunities to

publish if they publicly share their thesis via the university repository. (PSKC1, War Studies)

Also, an English literature researcher indicated that “The main concern would be protecting my research. But I am also concerned about my subsequent ability to publish my research, whether as a monograph or journal articles when people would already be able to access the work via OA”. (R34, English literature, Aberystwyth p. 350),

This is also consistent with this view of PSKC1:

Some students will think that will reduce their opportunities to publish if they publicly share their thesis via the university repository. (PSKC1, War Studies)

Also, from the online survey one of an academic staff in English literature stated that: Potential issues for ECRs who may want to publish their PhDs - publishers may be unwilling to take on work already freely available. and in the organizational level the most concern is thought to be an influential part is funding and cost (R205, English literature, Aberystwyth p. 359)

As mentioned by a respondent from the university of Birmingham: “I'm not sure if it gives me less control over my work if I also want to publish it as a book and/or as journal articles” (R130 Theology/religion). This is also considering by the following participant from Aberystwyth university as commented, “No money going to publishers, so they may be more reluctant to publish academic research”. (R Marketing p.250)

A PhD student from Birmingham (R146), commented on the publishing issues and consideration as:

None for me. It can be problematic if material should still be published elsewhere afterwards, but that is why in my institution one can put an embargo on open access (do not know for how long this is possible though). Apart from that I do not see any concerns about research being freely available for everyone. She also stated that “Maybe copy-right problems if published elsewhere”. (Psychology/Cognitive Neuroscience, R146).

In addition, a postgraduate student from Aberystwyth added: I think intellectual properties, the student wants to protect the work, because if you go online a lot of people can extract from that, I want to do some publications from my work. (PSA5, Education)

Without effective communication means and collaboration in open access domain, this can create an environment of resistance between the groups because of the conflicting interests and desires, especially if there is a lack of awareness on issues related to electronic publishing.

Chapter 7: Discussion of findings

7.1 Introduction

This section aims to explain the outcomes based on the perspectives of the stakeholders in both countries—administrators, repository managers/librarians, academic staff and postgraduate students—to see how they perceive the adoption of open-access e-theses. Therefore, the interpretivism and constructivism approaches were employed. These enable the researcher to explore individuals' experience of actions and events and offer contextual knowledge that allow the researcher to understand the meaning of peoples' actions. This is achieved by conducting a case study that examines the situations in the two countries.

7.2 Outcomes from Kuwait

7.2.1 E-theses perspectives

The perspectives of individuals based on their roles and positions play an important part in shaping the concept of open-access e-theses and repositories. Conflict occurs as a result of the different interpretations of the value of open access and e-theses repositories and the various social worlds interests and priorities. The identities and professional backgrounds of the stakeholders inform the way they perceive e-theses and open access in general. This research reveals individuals' perceptions regarding research activities, publishing and ethical considerations and that collaboration and communication between all stakeholders involved in open-access e-theses and repositories is necessary to reduce their concerns. One participant (ASP1, Information Technology) stated:

I think the interaction between different groups like the staff, researchers and librarians is important for increasing the awareness about this concept. It is important to involve all of them in [...] the process and consider their opinions and knowledge.

Postgraduate students and academics at Kuwait academic institutions showed mixed interest. For example, some administrators and librarians perceived e-theses repositories as advantageous to them or their institution, which influences their willingness to adopt such a

programme which in turn impacts policy formulation (quality of the research environment). However, others view e-theses as limiting their opportunities and creating risk relating to ethical considerations (resistance due to differing interests and priorities). This is consistent with other research that reached the same findings (Stanton & Liew, 2011; Cheverie et al., 2009; Kingsley, 2008; Barnes et al., 2012; Gadd et al., 2003; McMillan, 2005). The findings reveal that this factor is affected by awareness of the issues associated with e-theses. The research emphasizes that open-access and e-theses provoke a number of concerns that could be reduced by increasing awareness and by ensuring open communication channels (Copeland, Penman, & Milne, 2004; Pickton & McKnight, 2006; Brown & Sadler, 2010).

This research found that participants' perceptions are affected by their regular practices and prior expectations. For example, those engaged in sciences and technology would prefer to use open access and e-theses based on their activities and practices compared to those in other disciplines, such as the humanities (Kingsley, 2008; Stanton & Liew, 2011; Fox et al., 2002; Swan & Brown, 2005; Cheverie et al., 2009; Orbach, 1991; Pickton & McKnight, 2006).

7.2.2 Policies

This research revealed the views and concerns of stakeholders regarding open-access policy issues, ethical considerations, legal issues relating to research, the **appropriate regulations** for open-access e-theses and the **lack of regulations**. The outcomes affirm what has been stated by Barnes et al. (2012) and Lippincott and Lynch (2010), which is that the lack of policies and appropriate regulations is one factor affecting the development of e-theses. Research in this area has also found that intensive work is needed to ensure the acceptance of open-access e-theses policies by the various groups at educational institutions and that managerial procedures and timelines need to be included (Bevan, 2005, p.101; Greig, 2005). Gadd et al. (2003) and Barnes et al. (2012) (see 2.1.2, and 2.7) found that postgraduate students are most likely to express concerns regarding open-access e-theses and publishing in the future. Adopting appropriate policies will have a great impact on individuals' trust in open-access e-theses programmes. As stated in the literature review (see 2.7.2), Brown and Sadler (2010) showed that about half of survey respondents reported concerns about sensitive data in theses. This includes data with commercial value; political and confidential government statistics; personal material related to the fields of medicine; information relating to court cases, child healthcare

and education and clinical studies. All data related to these things must be protected from public access. According to Barwick (2007), access to theses and dissertations could be affected by agreements and conditions between publishers and researchers, which affects the progress of e-thesis repositories. The current research study revealed that in the Kuwaiti context, there are fewer concerns around the deposit policies for open-access e-theses; however, a few participants preferred to adopt the opt-in policy that gives them the choice to adopt e-theses or not.

It has been found that the formal deposit policy opt-out is more appropriate with the institutions policies and that it helps in achieving the goals of the institution and the national policy in general. This is consistent with Brown and Sadler (2010), Barnes (2010), Greig (2005) and Barnes et al. (2012). Harnad (2001) mentioned that the RAE in the UK could influence the adoption of repositories in general by making mandatory the self-archiving of literature by academic institutions.

7.2.3 Funding

The study also revealed concerns relating to budget, management costs and lack of resources associated with the policies adopted at academic institutions, particularly ones that are publicly funded. The lack of awareness about ongoing costs and the funding required for the e-theses programme could cause tension between the various stakeholders. The main strategies and policies of academic institutions in Kuwait are formulated and mandated by the government, and therefore many issues must be considered, particularly financial issues. This could be a barrier to developing technologies and projects, as significant time is required before resources are afforded. Studies such as those conducted by Xia et al. (2012), JISC (2011) and Hall (2013) show the role that government and national parties play in the decision to adopt open-access e-theses at academic institutions. This role makes it necessary for academic institutions to negotiate with the different parties involved in the development of e-theses programmes in order to fulfil the requirements and achieve the goal.

This research revealed that the ongoing costs of supporting institutions' infrastructure are an important factor. E-theses repositories save costs and resources associated with journal subscriptions and offer better opportunities for research development and collaboration. However, the ongoing costs affect their adoption and development, as academic institutions

have limited financial resources. This finding confirms what has been stated by Swan et al. (2005) regarding open-access management costs.

7.2.4 Structure

The way of working has been found to influence the adoption of e-theses at Kuwaiti academic institutions. This is highlighted by the research participants who discussed the bureaucratic processes and structure that characterize Kuwaiti institutional culture. This is particularly true for decisions that require financial orders, which go through long communication channels. This is consistent with the studies of Alawadhi (2007, p. 256) and Al-Fadhli and Johnson (2006) that concluded that a number of issues related to the way of working and bureaucracy affect the completion of technological implementations in Kuwait. This discourages the use of many technologies and electronic services or causes the development of such programmes to be significantly delayed. The authors also state that these procedures require communication and cooperation between governmental authorities and the institutions, which is often insufficient. This creates tension between librarians and decision makers or administrators at the institutions, as not all parties are necessarily aware of the funding process. This tension has a negative impact on the development of open-access e-theses. This is consistent with the study of Al-Alawi, Al-Marzooqi and Mohammed (2007) on information and knowledge sharing in the Bahraini context, which stated that most administrators realize the drawbacks of bureaucracy and its effect of slowing down various processes, restricting the flow of information and wasting time. Therefore, it is recommended that institutions find ways to avoid such bureaucracy by implementing approaches that facilitate the adoption of open-access e-theses and repositories in cooperation with the government.

7.2.5 Infrastructure

Despite the findings related to the funding and expense associated with e-theses that impact the development and improvement of open access e-theses and IRs, the respondents believe that the necessary infrastructure and equipment for open-access e-theses were available at their universities. This research revealed that the availability of staff to provide technical support is an issue affecting the adoption and development of e-theses and repositories. The absence of

the appropriate staff causes tension between the groups involved. However, several authors such as Ubogu (2001) and McMillan (2001) have reported that the existing staff at academic institutions can easily handle the work associated with e-theses implementation. There is a need to develop a comprehensive framework that covers all these issues in order to achieve better results when adopting open-access e-theses at Kuwaiti academic institutions. Such a framework must inform all stakeholders about the capabilities and availability of the current infrastructure to effectively implement open-access e-theses.

Human resources can play an essential role in improving and enhancing the open-access environment in academic institutions. The findings of some previous studies on IT and communication, such as those of Alshawhi (2007), confirm the relationship between good management, environment and qualified staff and the awareness of users. A positive relationship is necessary so that all can benefit from the services offered by academic institutions.

7.2.6 Informal social influences

This research shows that informal social influence affects awareness of open-access e-theses. Awareness is increased through interactions, and thus the idea of open-access e-theses is spread. This facilitates the adoption of this technology and reduces any tension that might hinder the process. Relationships between members in the same group or between groups have been found to influence awareness of open-access e-theses and therefore impact the adoption decision. One participant (PSP2 Science) illustrated this, stating “I usually ask my supervisors about every aspect related to my work and research. I believe I will receive the right response”. The lack of this kind of interaction results in more time and effort being expended. One participant (AAK2, 20/12/2016 17:30-18:00) explained as follows:

Well, I think if there was a lack of communication and interaction between or within different departments in the university, that would create concerns about the time and effort that would be required to spread the awareness of such IT initiatives and share their views.

Some research, such as that of McMillan (2005) reports that some supervisors advise their postgraduate students to make an embargo decision and restrict access to their theses in order to use it for research publications.

Although this study found positive attitudes toward open-access e-theses on the part of most participants in the four groups, the effect of informal social influence on the awareness and acceptance of open access is significant. Therefore, it is important to take this into account when initiating an e-theses project and to ensure that all stakeholders involved are informed about the technology. This is crucial to prevent the tension that causes lack of awareness and to achieve successful adoption. Venkatesh et al. (2003) state that social influence constructs are significant when the use of technology is compulsory, that is when one has to comply in response to social pressure. In such circumstances, the effort related to learning a new technology may have a negative effect on the perceived level of complexity in the early stages of adopting the technology; however, this will be changed with more interaction with the technology (Davis et al., 1989 as cited in Venkatesh et al., 2003).

7.2.7 Communication

This research confirmed the important role of communication in information sharing increasing awareness among members of different social worlds. For example, when there is good communication and interaction between and within groups it will help prevent conflict during the implementation of the programme and help increase awareness of open-access e-theses. One participant (LKU1) stated that “[...]. The body responsible for this kind of work is the College of Graduate Studies; the college is in charge of theses and dissertations and the implementation of e-theses”. However, the same participant also stated “We have a very good relationship with the people at different management levels; we have some connections with them, and they show their interest in providing all kinds of support”. The participants highlighted the importance of communication and interaction in adopting open-access e-theses. Difficult communication or lack of communication negatively affects individuals’ perceptions regarding technology adoption which hinders the whole process. Strauss (1993, p. 226) states that multiple perspectives are involved in communication and interaction, leading to discussion, debate and negotiation before reaching a settlement. Communication with all levels is an important aspect of adopting open-access e-theses, and awareness is one of main aspects influencing implementation, according to the participants. The participants also felt that the

willingness of those from different groups and in different positions at the academic institution could change by providing the proper encouragement and information.

7.2.7.1 Trust in communication and interaction

This study found that trust affects communication and interaction and is a significant factor leading to better communication and collaboration between and within groups. One participant from the group of postgraduate students (PSK1, Chemistry) expressed their trust in academic advisors and stated how this feeling affected their perception, saying “I respect my supervisor’s opinions, and I trust in his knowledge in our field and research in general”. Various studies have found trust to play an important role in the interaction and communication within organizations, particularly in terms of informal social influence (Pahl, 2000; Nielsen et al., 2000; Sisson, 2000; Jarvenpaa et al., 1999).

The results reveal that many respondents believe that communication will facilitate effective adoption of e-theses and increase awareness among the various stakeholders. It is therefore vital to establish trust and encourage open communication to engage everyone involved. Trust plays a major role in shaping attitudes about open-access repositories and in achieving success.

7.2.8 Academic disciplines

The results of this research also revealed that academic discipline plays an important role in open-access e-theses adoption. The different norms and approaches of the various disciplines are seen to have an effect on the use of e-theses and repositories in general. Pinfield (2003) states that cultural change is required among different groups for self-archiving to become a norm. Kingsley (2008, p. 204) states that academics in the sciences perceive open-access IRs to be a normal part of scholarly communication.

In the Kuwaiti context, the differences between disciplines was not seen by administrators to affect the adoption of this kind of technology. However, the librarians and academic staff thought these differences indeed play a role in acceptance and willingness to adopt. This is consistent with a number of studies, such as those by Kingsley (2008) and Stanton and Liew (2011) that state that there are differences between the disciplines in terms of using repositories.

This appears to be a fundamental aspect in the adoption and use of open-access services and e-theses in Kuwaiti academic institutions. The tension and conflict due to different individual interests make it difficult for some disciplines to accept the technology. The decision makers or members of higher management at Kuwaiti universities need to understand the importance of disciplinary differences regarding open-access e-theses and repositories in order to cope with any conflict.

7.3 Outcomes from the UK context

7.3.1 E-theses perspectives in the UK context

This section will discuss the results from the UK context concerning factors affecting the development of open-access e-theses. As seen in Chapter 5, the concept of e-theses is well known amongst stakeholders in the UK context. The technology is perceived as useful a tool for sharing research by the majority of respondents. They perceive it as a part of the requirements of their degree programmes. However, it is also a source of tension between the groups, as some participants perceive it as a requirement rather than as a way of facilitating research and scholarly communication. This results in pressure and tension for some postgraduate students who intend to publish research papers in their academic field to help ensure future career success. This is consistent with the conclusions of previous research stating that the different views of people in various positions can significantly affect the perceptions of others and therefore the acceptance and adoption of technology (Kingsley, 2008, p. 204; Stanton & Liew, 2011). The research reveals that previous expectations affect perceptions regarding open-access e-theses adoption and development, as thoughts and expectations around the implications of e-theses for research contribute to researchers' decision to adopt it or not as well as shape the perceptions of participations. It appears that the regular practices of researchers influence perceptions of open access. One participant (LA2, 14/10/2016 11:00-11:50) stated:

Probably now, in most subject areas, people expect to find journals and [journal] articles and other materials online, and as more people adopt [...] sharing platforms, such as academia, Mendeley and many [...] other sharing platforms, it become[s] more accepted that [you] make your work available. That makes things easier.

Familiarity is another important aspect that has impacts perceptions. One participant (R81) stated “I’ve always known my university has this since before coming here, anyway”. Another (R150) stated “I have known since undergrad[uate]”. The nature of the content is an important aspect that affects perceptions of e-theses programmes. One participant from Cardiff University (R139, History) said “Good but not have many good references as most of good quality and high standard papers or articles are existing in commercial or publishers’ sites which required access if you do not have one”. Another participant (R60, Library Studies) said “One concern is that if a publisher makes a profit from accepting papers, [...] might tend to accept anything, rather than selecting based on quality”.

Ethical considerations are another aspect that the academic staff and postgraduate students expressed concern about. This concern could result in tension between groups use open-access e-theses and groups that do not. Many researchers have concluded that IPRs and copyright are the most influential factors affecting the adoption of e-theses (Leung, 2005; Ghosh, 2007; Brown, 2010).

7.3.2 Policies

In terms of policies at academic institutions in the UK, the research found that they play an important role in the development of e-theses. The study results show that many aspects related to policy affect the adoption of open access and repositories at academic institutions, particularly for administrators and librarians. For example, the policies of external funding agencies require making theses publicly available (scholarship commitments), as do those of research councils. One participant (LB1, 13/12/2016 15:00-15:31) stated “[This is] not just because [of] the e-theses. [...] The increases [are] mainly because of RAF and the funding council open access requirement”.

This data confirms what the literature says about the role of government and research councils in open-access initiatives (Swan, 2005; Harnad, 2001; Xia et al., 2012). The data also show that it is important to have an appropriate open-access policy from the early stages, as it will be difficult to change later because many parties are involved in practice. One respondent (LA1, 12/10/2016 15:00-16:00) stated:

It is fairly embedded thing and because a PhD thesis, ahh,... [part] of the exam, the part of administrative, a central of the administration of the university in the way that nothing else is. So it's hard for us to change any policies because it connects so many people across the university.

7.3.3 Infrastructure

The results show that many participants believe their institutions provide high-level services and have the required infrastructure to run open-access e-theses services. They also show the importance of choosing the most appropriate system in undertaking the process. This is something that has impact in both the short and long terms, as explained by repository members from UK academic institutions. This is also linked to the policies and strategies institutions employ in terms of research development and storage mediums. This is consistent with the findings of authors such as Halbert, Skinner, and McMillan (2009); Jones and Andrew (2005); and Hockx-Yu (2006), who state that the technology infrastructure for digital preservation is becoming difficult due to the rapid pace of technological advancements and that this should be considered when constructing e-theses policies. This may cause some tension in terms of the development and management of open-access e-theses and repositories if the institution selected a system or software that does not meet all the requirements.

Human resources were also found to be a critical factor in the successful e-theses development. The results show that the role of staff in providing supports and training to other members has a significant impact on increasing awareness of open-access repositories and improving procedures to maintain efficiency. One participant (LA1, 12/10/2016 15:30-16:00) commented “We don't have enough technical support to keep it working properly – and meet my own and users' expectations – but it is an important compliance mechanism, as well as a window to our research”.

The results revealed that the majority of the participants believed that the infrastructure positively affected the development of open-access e-theses at their academic institutions. Having the proper infrastructure and the necessary software was seen as supporting and facilitating the development of open-access e-thesis programmes by the different groups.

7.3.4 Communication

This research found that communication is key in the effective adoption of the technology and in overcoming most issues regarding open-access e-theses. People will achieve understanding and awareness of open-access e-theses through effective interactions between the various groups involved in the adoption process. The results indicated that the role of trust and confidence in communication affect the perceptions of open-access e-theses. One participant (AAB1) stated “It depends on [...] actually, the process involves several activities throughout several stages at different institutional levels. [...] Within these roles and structures, an environment of confidence could be enhanced, which facilitates the interaction”. This is consistent with other findings in the literature (Pahl, 2000; Nielsen et al., 2000; Sisson, 2000; Jarvenpaa et al., 1999) that state that the presence of trust is vital in interactions between individuals and technology.

The study results indicating the importance of communication at the individual and institutional level regarding e-theses is consistent with the literature (Stanton & Liew, 2011; Lopez et al., 2004), which is what was expected. However, the role of trust between those members of different social worlds was found very influential in shaping perceptions and attitudes and is thought to be more persuasive in terms of encouraging adoption of the technology. Communication offers the opportunity for individuals to learn more about the open-access repository from others, including those who have used it and other stakeholders. Successful adoption of open-access repositories requires cooperation between different groups and social worlds due to their differences in perceptions and attitudes. Therefore, effective and interactive communication approaches are recommended to address these differences and facilitate the process.

7.3.5 Informal social influences

The influence of informal networks has been found to affect individuals' attitudes and perceptions regarding open-access e-theses. The participants agreed that these types of interactions play a role in the acceptance and adoption of open-access e-theses and repositories. This helps motivate individuals to participate more in open-access developments and also it works to consider any issue that could represent tensions and conflicts for individuals in social arena. The level of informal influence could positively or negatively affect perceptions of this

technology—whether to speed up the adoption or try to prevent development. Regarding the influence of peers and supervisors in terms of using the repository, one postgraduate student (PSKC1, War Studies) said “I have searched for specific people whose work I’ve been told about by peers or supervisors to find it in the repository. I was told the work would be germane”.

This is similar to reports by Copeland et al. (2005), McMillan (2005) and McMillan et al. (2011) that indicated that the impact of advisors on researchers’ use of open-access e-theses and repositories is highly noticeable. Informal social influence could work to balance stakeholders’ expectations and requirements vis-à-vis new technologies and concepts. Based on the nature of informal influence, more interaction will be allowed to individuals in order to obtain and share information and knowledge. Roger (2003) found that individuals usually rely more on the subjective opinions of others in their social networks to make decisions about the adoption of innovations.

In demonstrating the significance of informal social influence on the sharing of knowledge and raising awareness of open-access e-theses and the adoption process, it is important to ensure that this process occurs by effective knowledge exchange environment because it can provide insufficient information regarding open access e-theses. Therefore, awareness is a critical element.

7.3.6 Academic disciplines

Norms and disciplines were found to influence perceptions of open-access e-theses. For example, some disciplines, such as the sciences, are more willing use open access due to their research practices and activities. However, the arts and humanities are more concerned about publishing opportunities. Several studies (Stanton & Liew, 2011; Kingsley, 2008; Barnes et al., 2012; Brace, 2002; MacColl, 2002) have discussed the role of differences between academic disciplines in open-access practices. Therefore, some researchers, such as Pinfield (2005) have suggested that mandate policies would help to overcome the cultural and other managerial barriers that exist in academic institutions, thus speeding up the whole process. The results show there is concern about the implications of open-access e-theses and copyright issues for researchers that impacts the development and use of the technology. One researcher (ASO1, Architectural History) stated:

The main problem is copyright for images. Oxford University has a requirement to deposit theses in ORA but this requirement is new and they haven't really addressed the issue of cost of copyright for the student. As a consequence, virtually, all of the images used in the printed version will have to be redacted.

Tension and conflict often arise if these concerns are not addressed and appropriate policies initiated by institutions. The feelings and thoughts of members within these disciplines about open-access e-theses affect their views. The results demonstrate that the nature or culture of each discipline influences perceptions of open-access e-theses. One participant (PSA2, Business Management) stated:

Well definitely, culture plus the department, like for example the business department or computer science or geography departments we are pretty used to computers but not with the art department because they are working, it is not the work that is, the nature, they have some other format, like movie, so which they put normally in the appendix, there theses it just maybe in 200 pages but the appendix includes such as movies, so they have some additional stuff, that normally they submit it in format of CD or something like that. So, I do not know about that, are they willing to put that over the Internet or how to link it or reference it, like a movie. So, there should be some sort of policy in order to give knowledge to those people also.

The study results revealed that academic discipline is an important factor in the adoption and development of e-theses and repositories and that it should be better considered to encourage participation.

7.4 Comparison of the Kuwait and UK contexts based on the UTAUT and social worlds concepts

In the analysis of the factors affecting the adoption and use of open-access e-theses and IRs in the UK and Kuwait, the UTAUT model developed by Venkatesh et al. (2012) and the social worlds concept developed by Strauss (1982) were found to be appropriate frameworks within which to discuss the research outcomes.

Expected performance as discussed in section 2.11 describes the degree to which an individual considers adopting a technology to provide advantages. It was found that with respect to the main constructs of UTAUT, performance expectancy contributes significantly to the adoption and development of open-access e-theses in both the UK and Kuwait, and in relation with the roles and positions of individuals which has been found to have whether a positive effect on the perceptions of open-access e-theses amongst those groups which associated with (Hedonic motivation) and (Price values) that e-theses provided, or it is affected by the norm or culture of disciplines and the research environment. As seen in previous chapters (Chapters 4 and 5), performance expectancy is influenced by existing expectations and regular practices and is linked to resource availability (facilitating conditions). In addition, the level of complexity was not perceived as affecting the use of technology (effort expectancy). Nor did it significantly impact the attitudes of individuals in terms of using the service. As the results indicate, the social influence of interactions would determine the significance associated with use of this programme towards adapting to these setting conditions, influencing the perceived advantages. Using the social worlds concept, when studying the actions relating to open-access e-theses adoption at academic institutions it is necessary to consider how actors work collectively to shape this activity. The data shows that not only the positive perspectives of open-access e-theses but also the research environment consisting of the norms or culture of disciplines help shape the development and adoption of open-access e-theses. Indeed, open-access e-theses were heavily supported by administrators and librarians, while academics and postgraduate students expressed concern about the differing interests and interpretations that created tensions regarding the impact of the technology on research. This shows that open access e-theses and repository process is always in the making and develop while passes across social worlds which describes the dynamic interactions among different social worlds as it changes over time as different actors involve.

Effort expectancy is defined as the degree of simplicity of a technology. In other words, if an individual perceives the technology as easy to use, it will positively influence the intention to use the technology. This is usually associated with positive thoughts and beliefs about technology use and the level of difficulty. It was not seen to influence the development of e-theses in the UK or Kuwait; however, it was perceived that effort expectancy is affected by academic discipline and policy. Complexities in appropriate procedures, system by the institutions and special items and contents by different disciplines on other hand may provide some difficulties in the developing process. Thus, it is essential to consider effort expectancy carefully, as many parties are involved in this issue, which makes it difficult to change policies.

Therefore, facilitating conditions such as the support provided by the academic institutions for open-access e-theses and repositories would help to reduce the tensions related to effort expectancy, while having a good impact on the perception of open-access e-theses and repositories in general. In addition, the data shows that the open-access e-theses mandatory deposit policy works to enhance the infrastructures and facilitate the process as well as impact on the social influence and as a result, it would have a great impact on the both perceived advantages and difficulties of open access e-theses. According to Venkatesh et al. (2003, p. 451), “none of the social influence constructs are significant in voluntary context but become significant when use is mandated”. In terms of the social worlds perspective, such complexities result in different interpretations by stakeholders and cause conflict between different actors in different social worlds, as they construct different meanings about the technology. Therefore, the dynamic negotiation process involved in the development of open-access e-theses and in the formulation of policies would be affected by the different views of the different members of the different social worlds. This can create an environment of resistance because of the conflicting interests and views, particularly if there is a lack of awareness across those stakeholders about open-access e-theses and repositories.

Social influence describes how much an individual perceives that other people who are important to this individual seem concerned about using the technology. The important roles of specific people can have an impact on the decision to adopt open-access e-theses (McMillan, 2005; Greig, 2005). This includes the interactions and communication between social worlds and within groups. It has been found that informal social influence in both Kuwait and the UK is affected by disciplinary values and norms as well as communication. The level of trust in these communication activities plays a role in the perceptions of individuals and in turn affects individuals’ choice to use or adopt the technology. In Kuwait, strong personal relationships were perceived as significantly affecting the smooth running of the technology (facilitating condition). This has been found to influence the perceptions of individuals as the social informal influences impacted by the current available infrastructure and current available culture on the use of technology among different disciplines and cultures, this is because individuals tend to utilize what others and the majority use in existing environment. Regarding the social worlds concept, the nature of interactions determined by the discourse of social actors was identified in this research as an important aspect facilitating the process of open-access e-theses. Due to these specific relationships of individuals and groups, the understanding of issues related to open-access e-theses and repository development would increase as a result of robust social interactions. In other words, actors’ identities in the process of interaction and

communication significantly affect the level of trust and in turn affect perceptions and the process of developing and adopting open-access e-theses.

Facilitating conditions show the extent to which an individual considers that conditions are right for a new technology. This includes the knowledge, assistance and technology that individuals perceive their institutions to have in relation to funding and supporting the implementation and adoption of open-access e-theses. The infrastructure was seen to significantly affect the adoption and development of open-access e-theses in both the UK and Kuwait and had a positive effect on perceptions regarding the adoption and use of open-access e-theses. It perceived as close to those already used in the services and it meet the requirement and compatibility with the system. The infrastructure that supports open-access development influences both effort and performance expectancy. Facilitating condition facilitates the impacts of informal social influence, wherein more people may be heading to adopt utilize of open access e-theses based on the current situations and culture of use within the instant surroundings of the workplace and the effective communication. Human resources and funding were found to be important factors affecting the development of open-access technologies and to impact the motivation to use this technology, particularly in Kuwait. This factor is also consistent with effort expectancy. In Kuwait, the structure and way of working were seen as significantly affecting the development and adoption of open-access e-theses, communication between the different social worlds and awareness of the issues related to technology adoption at academic institutions. These things resulted in tension relating to the adoption decision. The adoption of open-access e-theses and repositories is a result of negotiation, where various groups carried out and supported their conflicting values affecting the whole process of developing the technology and as decisions of open access e-theses and repositories are made on the collective level that demanding a collaboration between the different stakeholders, providing resources that can be integrated to achieve the potential benefits from this particular technology is considerably increasing the encouragement of developing and deploying the open access e-theses among different social worlds.

Chapter 8: Conclusions and the significance of the research

Open access to information has become a key component and an innovative mode in the digital environment in terms of scholarly communication and publishing practices. It is also thought to be a solution for some issues caused by traditional publishing approaches, whether at the institutional or individual level. This research aimed to identify the factors and interactions that affect the process of adopting open-access e-theses repositories at academic institutions. This aim was based on the UTAUT and social worlds models. Furthermore, due to the limited research on open-access e-theses and repositories in the developing world, and more specifically in Kuwait, this study also sought to understand the process and development of open-access e-theses in that part of the world.

To meet the study aims and objectives, it was necessary to carry out an intensive study of a group of e-theses stakeholders in different disciplines across nine academic institutions in the UK and Kuwait (see section 3.9). As pointed out in section 1.5, few studies have researched how different roles and disciplines engender tension related to the adoption of open-access e-theses. A mixed methods research design was adopted, which facilitated the purposeful selection of participants for face-to-face interviews. Although both quantitative and qualitative approaches were used for data collection and analysis, the emphasis of this research is qualitative. This allows deeper understanding of the particular issues influencing open-access e-theses adoption. The complementarity between quantitative and qualitative methods allows more robust analysis. Overall, the interview results revealed a number of contextual influences and interactions perceived as affecting the adoption process at academic institutions (see Chapter 7). This is confirmed by the online survey findings. The identified factors were analysed quantitatively in Chapter 4 and qualitatively in Chapters 5 and 6. The contextual influences were discussed in Chapter 7. The perceived contextual influences and interactions were grouped under three significant categories—e-theses system, individual context and administrative tasks labelled by the nature of relationships of those actions (see Figure 4).

The first objective of the study was to *identify existing frameworks that seek to explain organizational interactions that affect organizational behaviour that may inform an investigation of factors affecting e-theses adoption*. As pointed out in sections 2.12 and 2.13, in addressing this objective, a study of the literature identified frameworks that can be used to explain organizational interactions and their effect on organizational behaviour. In this way,

factors affecting the adoption of open-access e-theses could be identified. A better understanding of the social worlds and UTAUT frameworks was provided via the literature review, which led to a dynamic combined version that considers the technical, social and cultural dimensions of individuals in an institutional context. This objective was therefore successfully met. In relation to the second and the third objectives of the research—to *compare stakeholder views within academic institutions with a relatively well-established e-theses programme and those of institutions at an earlier stage of e-theses development* and to *examine how the factors identified within existing frameworks apply to the adoption of e-theses*—two different countries were selected for comparison, the UK with relatively well-established e-theses implementations and Kuwait, which is at a very early stage of e-theses development. Data on open-access e-theses in the UK and Kuwait obtained using primary data collection methods (an online survey and interviews) was used to establish stakeholders' views. Different groups were compared in the two culturally different locations to obtain in-depth insight into stakeholders' views of open-access e-theses. The online survey identified the perceptions and attitudes about using online searching tools to understand the respondents' use or non-use of open-access e-theses and repositories, the sources they relied on and the factors that hinder the adoption of open-access e-theses. The qualitative interviews with all the main stakeholders provided in-depth coverage of respondents' understanding of the issues, aspects and tension associated with open-access e-theses and repositories. To meet the fourth objective, *Informed by empirical study work towards an extension of existing frameworks to fully portray new technological adoption scenarios*, the research proposed a model for the effective adoption of open-access e-theses at academic institutions. This is in line with the study aims which will serve as an achievable guide for e-theses and repositories in academic institutions and could be useful for other environments and cultures that have a similar situation regarding the academic library services and programmes. The model also highlighted the relationships between the various research factors that would be of significance for both academicians and practitioners interested in using open access for research activities at academic institutions (see section 7.4).

8.1 The proposed model

The UTAUT and social worlds frameworks and the literature on the topic highlighted a number of factors that influence the adoption of open-access e-theses and repositories. However, the analysis of the online survey results and the interviews revealed several contextual influences not outlined by the frameworks. These include trust in communication and collaboration and the role of institutional structure and the way of working. Some contextual influences affect other factors, as shown in section 7.4 and reflected in the model in Figure 5. The model helps to guide academic institutions in the effective adoption and development of open-access e-theses.

This model was developed after an in-depth study carried out on academic institutions in the UK and Kuwait to find out contextual influences and factors that influence the adoption of open access e-theses. With regard to how to use the model proposed, it is important to understand the aim of the model which is work like a structure for the underpinning challenges that encounter the open access e-theses adoption in order to avoid the tensions and factors that cause failure in the process. As mentioned previously, four types of stakeholders are mainly engaging in the process of e-theses activities in academic institutions and they form three basic elements, namely E-thesis system, administrative tasks, and individual context. Each element constructed by a number of factors that emerged from both pre-determined e.g. Perceptions based on roles and positions; Prior expectations and regular practices from (performance expectancy, Habit, Hedonic and Price value by UTAUT) Informal social influences from (Social Worlds and social influence by UTAUT), Academic discipline; communication from (Social Worlds concept), Policies; funding; infrastructure from (facilitating conditions and effort expectancy by UTAUT) and other factors identified via the data during the analysis process e.g. the structure and trust in communication). As outlined in the findings and analysis, different views activities, and events by those social words occur within the social arena that represents the nature of relationships between the three main elements, a ***Contextual relationship*** between the E-thesis system and the administrative tasks; a ***Differential relationship*** between the Administrative tasks and the Individual context; a ***Situational relationship*** between the E-theses system and the Individual context. These factors are interrelated and complementary to each other. The interactions and activities characterise these relationships which in turns effect the behaviour of different members of social worlds within organisational arena and context towards the perception of open access e-theses. These interactions, tensions and activities compromised by the ***quality of the research environment***;

Scholarship commitments from the e-theses system by group perceptions and prior expectations and regular practices and thus impact on the tasks of administrative work of Policies, Structure and Funding. On the other hand, Administrative tasks as *Physical infrastructure/resources; Human infrastructure/resources* (the infrastructure); *Quality management and appropriate policies; Sets policies, and guidelines activities* affect the E-theses system of perceptions by roles and positions of stakeholders and prior expectations and regular practices. In addition, the activities of the administrative tasks such as the *Effective communication means* by the adequate infrastructure impacts on the informal social influence and helps shape the development of open access e-theses within academic disciplines and better communication of individual context. On the other hand, subjects such as the *Nature of discipline and type of data; Resistance due to varying interests and priorities* (Academic disciplines); *Trust in communication and interaction* (informal social influence and communication) of the individual context are linked to the policies, structure and infrastructure of administrative tasks. Finally, the *Nature of the content* of E-theses system by Prior expectations and regular practices has effect on the academic disciplines. However, *Feelings and thoughts about e-theses affect; Familiar with the system in practice* by Informal social influence, Academic disciplines and Communication of individual context influence the Perceptions based on roles and positions and the Prior expectations and regular practices of E-theses system.

In order to achieve better results and for the adoption of open access e-theses to be successful, it is necessary to take *E-thesis system, administrative tasks, and individual context* elements fully into account which can raise the level of open access e-theses adoption in academic institutions. Thus, these three components were the key role in building the proposed model for this study to determine factors and tensions that face the process of open access in academic environment. The model shows the need of interrelation between the three components in order to improve the current situation by describe the tensions and activities in the current practice that restrict and challenge the development and the effective contribution of open access e-theses in universities. The dynamic interactions in which these elements are characterized and were shaped by different stakeholders play an important role in shaping the perceptions and attitudes towards the adoption and development of open access e-theses. Such an approach could enhance the ability to continue over a period of time and the long-term viability of the new initiative such as open access e-theses and repositories by reducing possible stakeholders' resistance as identified in this research.

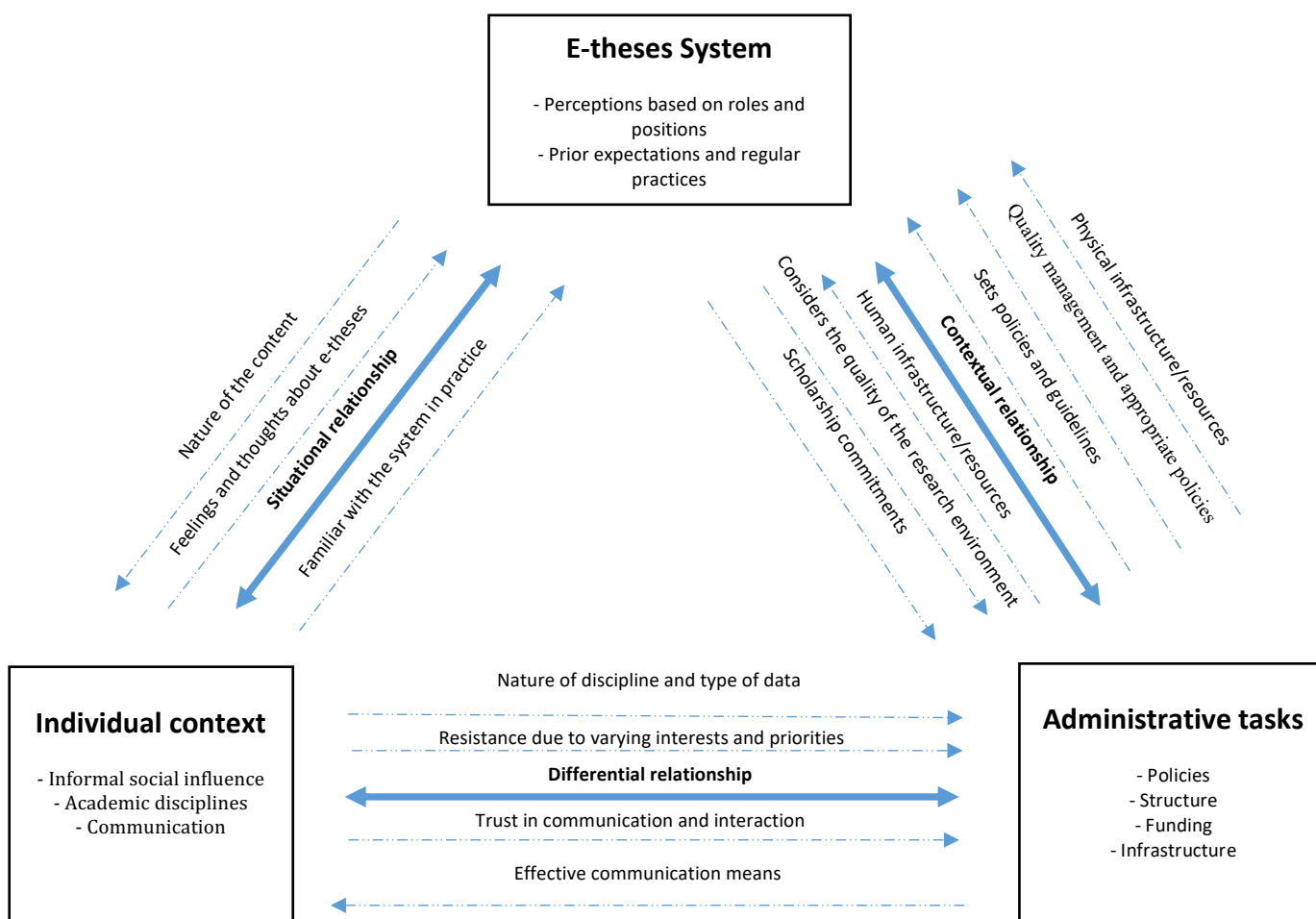


Figure 5: The proposed model - a two-level interactive views of open-access e-theses adoption and development.

8.2 Research contributions

The main contribution of this research was the development of a model to outline the factors involved in the adoption and implementation of open-access e-theses and repositories. The model highlighted the need for all the influences to be considered when planning open-access e-theses initiatives. The conceptual model was developed based on existing literature on the topic under investigation and the data and outcomes of the empirical study. This model identified three main categories in open-access e-theses development in academic institutions, the interaction processes and factors that affect the adoption and the behaviour of organizations. The detailed research findings showed that these contextual influences are related and impact

one another (see section 7.4). In addition, as very little research has investigated open-access e-theses and repositories in academic institutions in developing countries, and more specifically in Kuwait, this research contributes to the body of knowledge pertaining to open-access e-theses. From the point of view of its contribution to theory, this work makes a significant contribution to the body of work on the UTAUT and social worlds frameworks as applied in different institutional and cultural contexts. This research has contributed to that context by fulfilling the key concepts generated through the social worlds and UTAUT frameworks, which ended by theoretical integration. The two models were also adopted to give more thoughts and understanding for the emergent findings from the UK and Kuwait. First, social worlds model was used to give fuller explanations for topic under investigation with regard to issues and tensions that shaped their interactions and activities within the adoption of open access e-theses in academic institutions. Furthermore, where the nature of social worlds and their representatives through interactions and activities were not the only factor that influenced open access e-theses and repositories implementation, the UTAUT was used to give a deeper explanation for open access e-theses repositories in both Kuwait and the UK. This research illustrated how vital it is to emphasise how activities and interactions regarding the adoption of open access e-theses not only taken place within institutional level where the new system or approaches occurred, but it is also shaped within the wider context of social worlds and environment of various factors in different organizational settings. Furthermore, the research lies in the exploration of the dynamic interaction and negotiation among various social worlds in the process of adopting open access e-theses and repositories due to the potentially and capability of the social worlds perspective as providing that framework where be a lens of analysis for understanding the complex dynamic of adopting and developing of open access e-theses in a context categorised by different stakeholders with conflicting interests and values. By taking a social world perspective, it has been shown when open-access e-theses were perceived as positive with many potential benefits that facilitate research and help solve challenges, it was a source of tension and conflict between the stakeholders with positive perceptions and the stakeholders with negative perceptions, such as those relating to publishing and ethical considerations. Administrators and librarians shared their ideas as to what was valuable for the institution with those important contributors and research funders outside the university, such as government bodies and councils. The administrators and librarians favoured the instant adoption of open access across the institution. Such an approach could enhance the ability to continue over a period of time and the long-term viability of the new initiative such as open access e-theses and repositories by reducing possible stakeholders' resistance as identified in this research.

As a result of combining these two frameworks, the main factors and interactions involved in the adoption and implementation of e-theses were identified for analysis.

In conclusion, the contribution of this study can be summarized as follows:

- This research makes contributes to the body of knowledge by providing a better understanding of open-access e-theses and repositories from the viewpoints of stakeholders in two different countries, one with relatively well-established e-theses implementations (UK) and the other (Kuwait) at an earlier stage of e-theses development. It provides insight on open-access e-theses practices, particularly in Kuwait. To the researcher's knowledge and based on the available literature, a similar comparative study of open-access e-theses in different environments has never been attempted before. This research thus makes a special contribution to the general literature in terms of developing a new technological adoption scenario.
- This research identifies ways to develop open-access e-theses and repositories in academic institutions by comparing the views of stakeholders in both countries. It fills a gap in the literature on open-access e-theses and repositories.
- This is the first study to combine the social worlds concept with the constructs of the UTAUT model to compare viewpoints on open-access e-theses and repositories in two culturally different locations and to investigate the interactions and factors affecting the adoption of such technology by academic institutions. Existing literature on e-theses highlights the lack of empirical studies that use the social worlds model in relation to open access. The proposed model for open-access e-theses adoption was therefore based in part on the social worlds model, which was a useful reference tool in discussing the study findings.

8.3 Limitations and research opportunities

This study has some limitations. First, due to the interpretive and qualitative nature of this research, the outcomes could be a matter of different interpretations (Creswell, 2009, p.190; Guba and Lincoln, 1994). However, different criteria have been applied to ensure the accuracy and validity of findings (discussed in sections 3.6.1 and 3.6.2). Second, despite the possibility that the purposive sampling technique adopted in the interviews could decrease the generalizability of the findings, by considering the factors, tensions, interactions and difficulties the stakeholders perceived, this research outlines ways to increase the efficiency of open-access e-theses repositories at academic institutions to support scholarly communication and the effective adoption of open-access repositories. Therefore, the research findings could be generalized by applying a similar research design and strategy to the libraries of other academic institutions. Third, due to time constraints and to the scope of this research, the study was limited to surveying only certain stakeholders—postgraduate researchers, academic staff, librarians/repository members and administrators. Future research might consider other parties in a wider context to gain a better understanding of the issues and tensions that affect the development of open-access e-theses, such as publishers' perspectives. The data in this study touched on the impact of publishers' policies on individuals and academic institutions, but it is essential to conduct more research on open-access e-theses and IRs from the perspective of publishers to gain a better understanding and to identify more factors that affect the development of open-access e-theses and repositories. It would also be useful for future research to investigate different users in the community and at the national level to increase the efficiency of the model. Future research could focus on the impact of open-access e-theses and repositories on research practices and how to motivate those different users to use open access. Such research would provide a more comprehensive picture and greater insight into the contextual influences that impact the adoption of open access e-theses. Finally, as some of the interviews and some of the online questionnaires were in Arabic, two lecturers who speak both English and Arabic double-checked the accuracy of the interview transcripts and online survey translations (see Appendix 9).

8.4 Conclusion

The analysis of the tensions and interactions among stakeholders from multiple social worlds shows there are a number of key issues to be considered when adopting and implementing innovative technologies such as open-access e-theses and repositories at academic institutional context. This intent of this research was to develop a model of open-access e-theses development based on the research results regarding stakeholders' interactions and their perspectives. As stated in the literature review, the adoption of e-theses at academic institutions has been investigated by a number of researchers; however, the interactions among those involved in managing and developing open-access repositories have not been explored in depth. Therefore, this research elucidates not only the importance of understanding how these activities take place based on institutional procedures but how they are shaped within the different social worlds of institutional environments. This is the first study about open-access e-theses to apply the social worlds concept in combination with the UTAUT model and both qualitative and quantitative methods to develop a new scenario for open-access e-theses adoption at academic institutions.

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List of Appendices

Appendix One: Interview codes

Final Codes (Interview)					
Codes for Individuals					
Individual intrinsic					
Main code	Description	Sub-codes	Sub-codes	Sub-codes	Description
E-theses perceptions	The perceived value by individuals roles and positions	- Content creator	• Wider audiences		Beneficiary perceptions of open access e-theses adoption in research
			• To be recognised		
			• Research disseminated more rapidly		
			• Way of communication		Scholarly communication between researchers and cooperate in research
			• Sharing research outcomes		
			• Complexity with the system	- Ease of use	The complexity of process that individuals encounter when using and adopting open access e-theses
		Content seekers	• Review other students' works	• Avoidance of duplication	Beneficiary perceptions of using open access e-theses in research

			<ul style="list-style-type: none"> • Less effort 	<ul style="list-style-type: none"> • Accessible from any location 	
			<ul style="list-style-type: none"> • Free access 	<ul style="list-style-type: none"> • No restriction 	
		<ul style="list-style-type: none"> • Regular practices 			regular practices of using programmes on individuals that influence on users' perceptions)
		<ul style="list-style-type: none"> • Knowledge 	- Awareness		Knowledge required to use e-theses programmes
Policies		<ul style="list-style-type: none"> • Ownership 	<ul style="list-style-type: none"> • Ethics <ul style="list-style-type: none"> – Intellectual property – Copyright – Future publishing – Sensitive data 		Concerned with issues that occur at stages impact on the decision of open access e-theses on individuals
		<ul style="list-style-type: none"> • Lack of appropriate policies • Sets policies and guidance 			
Academic disciplines		<ul style="list-style-type: none"> • Norms and disciplines 	Publishing approaches		Individuals perceptions based on their discipline backgrounds
			<ul style="list-style-type: none"> • Publishing approaches 		Characteristics related to discipline that affect the adoption.

		<ul style="list-style-type: none"> Research council and agents 		
		<ul style="list-style-type: none"> Impact of other institutions, repositories 		The influencing of other institutions experiences/ benefits and the possibility to learning from that
Informal Social influence	The effect of informal groups on the individual's decision of adoption	<ul style="list-style-type: none"> Academic staff 	Mode of communication	Involves interpersonal relationship, conflict, interdependence, tension, leadership, and influence.
		<ul style="list-style-type: none"> Peers 		
		<ul style="list-style-type: none"> Online influence 		
		<ul style="list-style-type: none"> cod 		The development of interpersonal trust and its impact on the decision and development of using open access e-theses

Codes for organisation

Organisation intrinsic

Main code		Sub codes		Description
Perceptions of value	Perceived value of open access e-theses on the institution.	<ul style="list-style-type: none"> Accessing 		The values of open access e-theses on institutional level for users
		<ul style="list-style-type: none"> Cost value 		The values for the library and research.
		<ul style="list-style-type: none"> Place saving 		
		<ul style="list-style-type: none"> Time saving 		
		<ul style="list-style-type: none"> Research status 		The values of open access e-theses on the institution position and image
		<ul style="list-style-type: none"> Reputation and impression 		
		<ul style="list-style-type: none"> Research sharing 		Values on research community by sharing the results
		<ul style="list-style-type: none"> Improve scholarly communication 		
Funding	External impact on the academic institution that affect the process of development of open access e-theses.	<ul style="list-style-type: none"> Research councils and agents Governmental influence 		Factors from outside that have high impact on the institution decision to adopt the open access e-theses

Organisation in context				
Policies		<ul style="list-style-type: none"> • Regulation and policies 	<ul style="list-style-type: none"> • Quality • Technological developments 	Regulations and appropriate policies concerned in the adoption of programme
		<ul style="list-style-type: none"> • Research councils and agents 		
		<ul style="list-style-type: none"> • Interdepartmental cooperation 		
infrastructures	Resources availability and facilities that impact on the development of open access e-theses in institutions	<ul style="list-style-type: none"> • Technological equipment • Organising information • Programme development processes • Self-archiving 		Procedures required to successful adoption of open access e-theses

		<ul style="list-style-type: none"> • Staff 	<ul style="list-style-type: none"> • Staff available • Training <ul style="list-style-type: none"> - Workshops • Training 	<p>Availability of staff to manage and develop open access e-theses in academic institutions.</p> <p>Level of training provided to individuals to adopt open access e-theses.</p>
		<ul style="list-style-type: none"> • Funding and resources • Lack of funding 		<p>Cost and financial issues related to open access process, development and adoption.</p>
		<ul style="list-style-type: none"> • Structure 		<p>The structure and institution climate role on the development of open access e-theses in academic institution.</p>

Appendix Two: Interview Guide

Participants	Item	Questions
Librarians Postgraduate directors Graduate students Academic staff	<i>Performance expectancy</i> (Value and Expectation)	1. Do you think adopting an open-access e-theses repository is advantageous for you? Why? 2. Do you think adopting an open-access e-theses repository is advantageous for the institution? How?
Postgraduate directors Librarians Academic staff		3. What differences do you think exist among disciplines regarding the adoption of open-access e-theses repositories?
Academic staff Postgraduate students		4. How do you perceive the accessibility and availability of open-access e-theses repositories?
Academic staff Postgraduate students		5. What do you think about an open-access e-theses repository as a way to find research-related information?
Academic staff Postgraduate students		- Do you think open-access e-theses repositories can improve the research and sharing-information process?
Librarians Postgraduate directors Graduate students Academic staff		6. In your opinion, what are the challenges that impact the adoption of open-access e-theses repositories?

<p>Librarians Postgraduate directors Graduate students</p> <p>Academic staff</p>		<p>7. Do you think the expectation of the risks, such as intellectual property issues and copyright infringement, influence the intention of using open-access e-theses repositories?</p>
<p>Postgraduate directors Librarians Academic staff</p>	<p>Effort expectancy</p> <p>(Complexity)</p>	<p>8. Do you think the difficulty of procedures related to the implementation of the project influences a person's willingness to use open-access e-theses repositories? If yes, please specify.</p>
<p>Librarians Postgraduate directors Graduate students Academic staff</p>		<p>9. How would you perceive the knowledge required to adopt an open-access e-theses repository?</p>
<p>Librarians Postgraduate directors</p>		<p>10. What is your opinion about the amount of time required to create and adopt the project?</p>
<p>Graduate students Academic staff</p>		<p>11. How do you view the required procedures, such as securing agreements, which must be implemented before making theses and dissertations electronically available?</p>
<p>Graduate students Academic staff</p>	<p>Social influence</p>	<p>12. Where you find information regarding the adoption of new technology?</p>

Graduate students Academic staff		13. In your opinion, to what extent do face-to-face interactions influence the intention and use of open-access e-theses repositories?
Librarians Postgraduate directors Graduate students Academic staff		14. In your opinion, how do people in different positions in institutions influence e-theses adoption? 15. Do you think that influence has an impact on the perception of the adoption decision?
Librarians Postgraduate directors Graduate students Academic staff		16. To what extent do the structures of relationships play roles in the adoption of open-access e-theses repositories?
Librarians Postgraduate directors	<i>Facilitating conditions</i> Knowledge and Resources available	17. Who participates in creating the open-access e-theses policies during the adoption process?
Librarians Postgraduate directors		18. What knowledge do participants have, and what depths of experience and knowledge do they need to take part in the adoption policy?
Librarians Postgraduate directors		19. Do they need to have the same knowledge as technicians or librarians; if not, do they need to

		be provided with training?
Librarians Postgraduate directors Graduate students Academic staff		20. What sort of training or instructions did you receive in order to use the repository?
Librarians Postgraduate directors Graduate students Academic staff		21. What is your opinion of the institution's open-access e-theses policy and regulations, if they exist?
Librarians Postgraduate directors Graduate students Academic staff		22. Do you think the adoption decision is influenced by the funds and the infrastructure that the institution provides? 23. How does this affect the adoption of open-access e-theses repositories?
Graduate students	<i>Preferences</i>	24. Do you find an open-access e-theses repository interesting? Do you want to try it? Do you prefer it to other methods, such as traditional ways of accessing theses? 25. How do you think it influences your service satisfaction and meets your needs?
Librarians Postgraduate directors	<i>Price value (institutional)</i>	26. Do you think open-access e-theses repositories offer better properties such as reduce costs, than existing methods?
Librarians Postgraduate directors Graduate students Academic staff	<i>Norms and cultural factors</i>	27. Do any cultural values, norms or barriers influence the implementation of open-access e-

		theses initiatives in an academic institution?
Graduate students Academic staff		28. What norms issues that could shape or build your technology adoption decisions?
Librarians Postgraduate directors		29. In your opinion, do cultural differences among various disciplines influence the intention to use open-access e-theses repositories?
Graduate students Academic staff		30. To what extent are you concerned about other members or groups around you with regards to their opinions and views?
Librarians Postgraduate directors Graduate students Academic staff		31. In your opinion, how can these cultural issues be faced?
Librarians Postgraduate directors Graduate students Academic staff	Regular practice and prior expectations	32. Do you think technology, such as the internet, has an impact on the open-access e-theses repository adoption decision?

<p> Librarians Postgraduate directors Graduate students Academic staff </p>		<p>33. How do think using similar programmes (academic library databases) amongst different disciplines influences the intention to use open-access e-theses repositories?</p> <p>34. How do you think using the internet and search engines, such as Google Scholar, impact the decision to use open-access e-theses repositories?</p>
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Consent Letter

My name is Khaled Alzanki. I am a PhD student at Aberystwyth University, Department of Information Studies. I am conducting research on identifying influential factors that affect the adoption of e-theses in academic institution libraries and whether that has an impact on the research activities, and I would like to invite you to contribute to this study.

The purpose of this study is to investigate the perception of open-access e-theses and dissertations in academic institutions by exploring how librarians, academics and postgraduate administrators and students perceive and adopt open-access e-theses. The goal will be to determine the interactions that occur to implement an effective framework for open-access e-theses in academic institutions.

About the Study

The research process will feature two parts. The first part is an online questionnaire, which should take about 10 to 15 minutes of your time. In addition, the survey involves questions about some personal information (age, field, gender and location), which are parts of the research purpose. Each participant will also have a chance to contribute in a follow-up interview.

The interview will be the second phase of the research. Participants will be selected based on their roles and positions (purposive sampling) as well as based on who agreed to complete an interview According to the survey (first phase). Interviews will take place at the academic institutions to which the interviewees belong or at other agreed-upon places. A telephone interview will be another option if the participant prefers this approach. I estimate it will last 45 minutes to one hour. Audio recording will be used with permission from the participant to enable accuracy in data collection. Only my supervisors and I will have access to the recordings and transcribed files. As a participant in this research study, you will have an opportunity to review and comment on your interview transcript. This study is being supervised by Dr Allen Foster and Dr Pauline Rafferty, professors in the Department of Information Studies,

Aberystwyth University. They can be contacted at aef@aber.ac.uk and pmr@aber.ac.uk, respectively.

Your Participation

Taking part in this study is completely voluntary. You have the ability to refuse to answer any of the questions you will be asked, and if you wish to withdraw your participation, you can do so at any time, for whatever reason you wish. In addition, if you are not willing to have your participation audio recorded, note-taking will be one of the alternative approaches employed, and you will be given all rights in this area. All individuals' information will be removed during the earliest phase of analysis and transcription. Any quotes from your survey or interview that are included in the research study will be used anonymously, under a fictitious name.

Confidentiality

The research findings will be used for scholarly purposes only. They will be part of a PhD thesis and may also be published in academic journals and conference papers. The identity of a participant will not be disclosed to any unauthorised persons; it will be kept confidential.

All information provided will be kept securely and for only as long as necessary to analyse the data of this research study and to report on the research and its outcomes.

If you have any concerns or questions about the research study, please contact me.

Khaled Alzanki

Email: **kha1@aber.ac.uk**

Tel: 01970 622157; Address: Room 1.13, Department of Information Studies, Llanbadarn Fawr, Aberystwyth, Ceredigion, SY23 3AL Wales

The Survey

Thank you for your interest in this research study. The information obtained from this online questionnaire will be used as initial data for research about the factors that influence open-access e-theses repositories in academic institutions. The study is part of the requirements for a PhD thesis in Information Studies at Aberystwyth University. Please carefully read all the information provided below. If any of it is unclear, or if you have any questions or concerns, please contact the researcher, Khaled Alzanki, at khal1@aber.ac.uk. This study is being supervised by Dr Allen Foster and Dr Pauline Rafferty, professors in the Department of Information Studies, Aberystwyth University. They can be contacted at aef@aber.ac.uk and pmr@aber.ac.uk, respectively. The survey should take no more than 15-20 minutes of your time to complete. All of the information you provide will be dealt confidentially, and only my supervisors and I will view it. The information will be kept securely, and for only as long as it takes to analyse the data and report on the research and its outcomes. All surveys will be anonymous and any personal or identifying data will be removed. Any direct quotes included in the research report will be used selectively and anonymously. Thank you for completing this survey. Your **participation** is greatly appreciated.

Please feel free to share the link to this online survey with your colleagues and peers.

- ☐ I agree with the information presented above.
- ☐ I do not agree with the information presented above.

i. Regular Practice

The items in this section address the impact of technology on research practice.

1. Which of the following do you use regularly to access, share and search for information? *(Please select all of the responses that apply.)*

- ☐ Google Scholar
- ☐ University repository and library homepage
- ☐ The university's library
- ☐ Other (please specify)

-
2. How many times do you use search engines, e.g. Google Scholar, on a weekly basis?

- ☐ Not at all
- ☐ Once a week
- ☐ Two to three times a week
- ☐ More than three times a week

ii. Activities and Social Influence

The items in this section address research activities and the roles of peers and others in using repositories.

3. In your opinion, what are the reasons (e.g. the accessibility of information) for using search engines, such as Google Scholar, in your research activities?
-
-

4. When did you first hear about the repository or e-theses at your institution? (*Please select all the responses that apply.*)

- ☐ Library workshop/session
 - ☐ Peer/peers
 - ☐ Online, through search results
 - ☐ Internet discussion group
 - ☐ Never
 - ☐ Other (please specify)
-

iii. Value and Expectation

The items in this section address a user's expectations of the benefits of open-access e-theses repositories and their impact on the adoption decision.

5. How useful (e.g. it helps accomplish tasks more quickly) is an open-access e-theses repository?
-

6. Please briefly describe the kind of experiences you have had with the repository and how these experiences met your initial expectations.
-

iv. Complexity and Other Concerns/Issues

The items in this section examine the challenges and other crucial factors that affect the adoption of open-access e-theses and repositories.

7. What important concerns do you have about adopting an open-access repository?
-

8. In your opinion, what are the challenges that an organisation could face when adopting an open-access e-theses repository?
-

v. Knowledge and Resources Available

9. What sort of training or instructions did you receive in order to use the repository?
-

vi. Information about You

10. What is your discipline or field of study?
-

11. What is your gender?

- ☐ Male
☐ Female
☐ Other

12. What is your age?

- ☐ 20 or under

- ☐ 21-40
- ☐ 41-55
- ☐ 56 or over

13. What is the name of your university/academic institution?

14. What position do you hold?

- ☐ Librarian or repository team member
 - ☐ Postgraduate administrator
 - ☐ Academic staff member
 - ☐ Postgraduate research student
 - ☐ Other (please specify)
-

vii. Additional Information

15. Would you be willing to participate in the second phase of this research study by taking part in an interview?

A personal face-to-face interview is preferred; however, if that is not possible, the interview could be arranged via telephone or an online communication services, such as Skype, email, etc.

- ☐ Yes
- ☐ No

16. If you answered 'Yes' to question 15, please provide your details below:

Name: _____

Email: _____

Location: _____

Year of study (for postgraduate students only) _____

Qualification aim (for postgraduate students only) _____

Thank you for completing this survey. Your participation is greatly appreciated.

I would appreciate it if you would share the online link to this survey with your colleagues.
and peers.

Khaled Alzanki
Kha1@aber.ac.uk

Appendix Five: Interview Questions to postgraduate students and academic staff

*Repository is a digital archive of the intellectual products produced by the faculty, research staff and students of an institution, and is publicly available to others, both within and outside of the institution, sometimes with access restrictions.

*An electronic thesis and dissertation is a thesis and dissertation that is presented, displayed and archived in an electronic format.

1. Do you find an open-access e-theses repository interesting? do you think it influences your service satisfaction and meets your needs?

2. Do you think adopting an open-access e-theses repository is advantageous for you? Why?

هل تعتقد برنامج او مستودع الاطروحات والرسائل الجامعية المتاحة بشكل كامل مفيد بالنسبة لك؟ ولماذا؟

3. How do you perceive the accessibility and availability of open-access e-theses repository?

كيف ترى عملية الوصول الى المعلومات وتوفرها في المستودعات الرقمية وبالأخص برنامج الاطروحات والرسائل الجامعية؟

4. In your opinion, what are the challenges that impact the adoption of open-access e-theses repositories?

في رأيك ما هي العوائق التي تؤثر بتطبيق برنامج الوصول الحر للأطروحات والرسائل الإلكترونية في الجامعة؟ (عوامل الانقاع،

مادية او إدارية...الخ)

5. Do you think the expectation of the risks, such as intellectual property issues and copyright infringement, influence the intention of using open-access e-theses repositories?

هل تعتقد موضوع الملكية الفكرية وحقوق الطالب والمشرّف لها تأثير بعملية تطبيق النظام وهل هناك وعي كافي من قبلهم بتلك الامور؟

6. Do you think the difficulty of procedures related to the implementation of the project influences a person's willingness to use open-access e-theses repositories? If yes, please specify.

ما مدى تأثير الاجراءات الإدارية والتقنية المصاحبة برأيك لتطبيق النظام في الجامعة على رغبة واستعداد كل من طلاب الدارسات العليا والإدارة لاستخدام النظام؟

7. Where you find information and knowledge regarding the adoption of new technology?

بالنسبة اليك، اين تجد معلومات او شروحات لأي برنامج جديد تم او سيتم تطبيقه؟ (كمثال تسأل الاصدقاء او تفضل البحث عنه عن طريق الانترنت او من مصادر أخرى)؟

8. What sort of training or instructions did you receive in order to use the repository? If not, do you recommend or suggest any?

<p>ما هي وسائل التدريب التي قدمتها او تقدمها إدارة المكتبات لك في الجامعة لتقديم مثل تلك البرامج والتدريب عليها؟ (محاضرات، دورات، خدمات الكترونية، كتيبات وإعلانات...الخ) وهل هي كافية من وجهة نظرك؟</p>
<p>9. What is your opinion of the institution's open-access e-theses policy and regulations, if they exist?</p> <p>ما هو رأيك في سياسة او اللوائح المطبقة في الجامعة للرسائل والاطروحات الجامعية في المستودعات المفتوحة؟ في حالة معرفتك بها وتوفرها؟</p>
<p>10. Do any cultural values, norms or barriers influence the implementation of open-access e-theses initiatives in an academic institution?</p> <p>من وجهة نظرك الشخصية هل الاختلافات الثقافية، الفكرية، الاجتماعية أو القواعد المتبعة ما بين التخصصات تؤثر على قرار استخدام وتطبيق مثل تلك البرامج كالمستودعات المفتوحة بشكل كامل؟</p> <p>11. In your opinion, how can these cultural issues be faced?</p> <p>من وجهة نظرك كيف يمكن التغلب على تلك العوائق، او العوامل الثقافية؟</p>
<p>12. To what extent are you concerned about other members or groups m with regards to their opinions and views?</p> <p>الى أي مدى يكون تأثير آراء الزملاء او الأصدقاء عليك بشأن استخدام و تطبيق مثل تلك البرامج؟</p>
<p>13. Do you think technology, such as the internet, has an impact on the open-access e-theses repository?</p> <p>من وجهة نظرك الشخصية، هل التكنولوجيا والانترنت بمفهومها الواسع وتوفر الانترنت والاستخدام الكبير لمواقع البحث ساهم/يساهم بتعزيز تقبل فكرة الوصول الحر للمعلومات وهل لها تأثير على قرار الجامعة بتنفيذه؟</p>

Appendix Six: Interview questions to Postgraduate administrators and repository members

*Repository is a digital archive of the intellectual products produced by the faculty, research staff and students of an institution, and is publicly available to others, both within and outside of the institution, sometimes with access restrictions.

*An electronic thesis and dissertation is a thesis and dissertation that is presented, displayed and archived in an electronic format.

1. Do you think adopting an open-access e-theses repository is advantageous or has impact on the institution? How?
2. What differences do you think exist among disciplines regarding the adoption of open-access e-theses repositories?
3. In your opinion, what are the challenges that impact the adoption of open-access e-theses repositories?
4. Do you think the expectation of the risks, such as intellectual property issues and copyright infringement, influence the intention of using open-access e-theses repositories by users?
5. Do you think the difficulty of procedures related to the implementation of the project influences a person's willingness to use open-access e-theses repositories? If yes, please

specify.
6. What is your opinion about the amount of time required to create and adopt the project?
7. In your opinion, how do people in higher positions in institutions perceive e-theses adoption?
8. Do you think that influence has an impact on the perception of the adoption decision?
9. Who participates in creating the open-access e-theses policies during the adoption process?
10. What knowledge do participants have, and what depths of experience and knowledge do they need to take part in the adoption policy?
11. do the structures or relationships play roles in the adoption of open-access e-theses repositories?
12. What is your opinion of the institution's open-access e-theses policy and regulations, if they exist?
13. Do you think open access e-theses is influenced by the funds and the infrastructure that the institution provides? And how this affect the adoption?
14. Do any cultural values, norms or barriers influence the implementation of open-access e-theses initiatives in an academic institution?
15. In your opinion, how can these cultural issues be faced?
16. Do you think technology, such as the internet, google search engine have impact on the open-access e-theses repository adoption decision?

Appendix Six: (Kuwait and higher education institutions)

Overview

Kuwait is one of many countries that has recognized the significance of the role of IT in research and academic institutions. Therefore, the government is supporting such organizations in improving their performance to meet international standards and policies (Kuwait Times, 2011). Open access e-theses and repository initiatives for knowledge dissemination can contribute to the attainment of these goals. University-level education in Kuwait occurs at two major HEIs, Kuwait University (KU) and the Public Authority for Applied Education and Training (PAAET). Magara (2002, p.241) and Uzuegbu (2012) state that enhancing the collaboration between HEIs can be achieved by building or adopting digital libraries and e-technologies. As effective open-access repositories and e-theses adoption could result in better performance among academic organizations, it is important to see the level of acceptance and adoption in Kuwaiti academic institutions and to identify factors that affect the adoption of e-theses. Furthermore, developing the present academic experience in terms of introducing open access and e-theses is also important, as no research studies have been carried out in this area with respect to Kuwait.

Higher education and academic culture in Kuwait are relatively young, as they were developed during the last century. KU, which was established in 1966 as a main HEI, is eager to explore the potential of such technology, and it is thought to be a valuable case to investigate. Therefore, the focus of this study is to identify and analyse perceptions of open-access repositories and e-theses and to determine the contextual influences that affect the implementation of open access and e-theses repositories and related policies in Kuwaiti and UK academic institutions.

Location

Kuwait is located in the Middle East, southwest of Asia in the northwest of the Persian Gulf. It is surrounded by Saudi Arabia to the south and Iraq to the north and west. The population of Kuwait is 3,753,121, and it has an area of 17,818 km², making it one of the world's smallest countries (World Bank, 2015; U.S Department of State, 2012). The official language in Kuwait is Arabic, which is spoken by all citizens. However, English is widely used, as are some other languages. Kuwait is a constitutional monarchy with a parliamentary system of government (U.S Department of State, 2012). Kuwait has a small, rich, relatively open economy with

proven crude oil reserves of approximately 96 billion barrels (10% of the world's reserves). The Kuwaiti government has invested greatly in public education recently, and there has been foreign investment in private institutes. KU is receiving further investment from the government, with a new 370-hectare site being built, making it the largest campus in the Middle East. Other investments are being made in education, as many universities are rebuilding or relocating to larger, more modern buildings.



Figure: State of Kuwait map (*source: U.S Department of State, 2012*)

Higher education in Kuwait began to emerge in the 1960s after the Kuwaiti government established the first university, KU, in 1966. Kuwait was the first to construct a higher education system in the Gulf region (Badry & Willoughby, 2016). However, research as an important element in the higher education system began in earnest in 1979 with Ministerial Decision No. 111, which established a Research Management Unit (RMU) at KU. Originally affiliated with the College of Graduate Studies (UNESCO, 2010, p.13), it was the only academic institution in the State of Kuwait until the beginning of the 1980s. In 1966/1967, only two faculties were established, the Faculty of Science, Art and Education and the Women's

College. There were 418 students enrolled and 31 faculty members. However, throughout the following years, student enrolment increased annually, as did the number of faculty members and experts. Today, KU includes 14 colleges offering a wide range of programmes in the humanities and sciences. It offers 85 undergraduate degree programmes and 49 graduate degree programmes, including six PhD programmes. It has 1,400 faculty members, 35,000 undergraduate students and 2,500 graduate students. Public sources of funding supply most of the university's annual operating budget of approximately \$1.75 billion (Kuwait University Statistics, 2013). The Ministry of Higher Education, established in October 1988, is responsible for overseeing everything related to the HEIs in the state. It established a government policy to offer free education for all Kuwaiti citizens to study at the university level. Admission to university-level undergraduate courses is one the benefits of receiving a General Secondary Education Certificate. The bachelor's degree programmes are arranged in the American style 'credit semester' system and usually last four years, except for some professional programmes, such as medicine and engineering. Master's degree programmes at KU last up to two years and are now available in most subjects (The Europa World of Learning, 2008). Currently, university-level education in the Kuwait occurs at the two major public HEIs of KU and PAAET, which includes five colleges—the College of Basic Education, the College of Technological Studies, the College of Business Studies, the College of Health Sciences and the Nursing College. Both KU and PAAET emphasize academic development and research. In contrast, higher education in the UK has a long history:

Teaching in Oxford is documented from 1096, making the University of Oxford the oldest university in the English-speaking world. The University of Cambridge celebrated its 800th anniversary in 2009, commemorating the association of scholars who first gathered in the town in 1209. Three Scottish universities, St Andrews, Glasgow and Aberdeen were founded by papal bull in the 15th century and a fourth the University of Edinburgh was established by royal charter in 1583. A major expansion of higher education in the UK occurred in the 19th century with the awarding of royal charters to the St. David's College, Lampeter (subsequently part of the University of Wales), Durham University, King's College London, and University College London. Furthermore, the latter part of the century saw the foundation of medical, science and engineering colleges in England's major industrial cities, some of which eventually amalgamated to become the so-called 'redbrick' universities of Birmingham, Bristol, Leeds, Liverpool, Manchester and Sheffield (British Council, 2014).

In 1992, KU was the first learning institution in the Arab world to offer full Internet access to its students and faculty (ESCWA, 2003). However, initiatives such as repositories and open access e-theses have not been seriously considered yet. Few studies have been conducted on that topic, and no study has been conducted that provides an overall account of open access e-theses in Kuwait. Therefore, it is important to explore and identify aspects regarding the implementation of e-theses repositories at KU. With its inauguration in 1966, KU established the Central Library on the Khaldia campus. Holdings included periodicals, the national heritage library and the United Nations publications library. Since then, eight libraries have been established at the various other campuses of KU—the Jaber Al-Ahmed Central Library, the College for Women Library, the Education Library, the Engineering & Petroleum Library, the Art Library/Women, the Science Library, the Sharia and Islamic Studies Library and the Law Library (Kuwait University Libraries Administration Guide, 2006). The library administration at KU aims to provide the academic community with current information resources, services and multimedia required by KU. It strives to offer materials and services that will best meet the needs of students and academic staff and to improve the quality of services (Kuwait University, 2011). Postgraduate research students are asked to deposit two printed copies of their theses and dissertations and are required to submit an electronic version on a compact disc. Theses are archived in the College of Graduate Studies and copies are housed at the library. Online users can only preview brief bibliographic records and some details of theses but not full texts or even abstracts. Only members of KU can apply to receive a copy of a dissertation or thesis (Kuwait University, 2015).

The existence of open access e-theses has become a necessity in the current circumstances in Kuwait, as recently an investigation has begun by the authorities to investigate the case of a fake degree certificate as well as serious actions have been taken to face the issue of forged certificates in the state of Kuwait and thus, they formed a special committee with examining and validating postgraduate degrees in many contexts and levels of their employees to verify their authenticity, particularly those “who acquired them through non-scholarship means” (Khaleej Times, 2018). According to the Kuwait News Agency (2018)³, the Deputy Foreign Minister announced, “plans to communicate with the ministry of higher education to exert joint efforts to combat the phenomenon of fake certificates”. (Gulf Daily News, 2018⁴; Times

³ <https://www.kuna.net.kw/ArticleDetails.aspx?id=2738360&language=en>

⁴ <http://www.gdnonline.com/Details/384540/Kuwait-to-scrutinise-state-officials%E2%80%99-degrees>

Higher Education, 2018⁵). Open access e-theses would eliminate such issues as offering a way to identify quality-related aspects through depositing their theses and dissertations and make it visible to both scientific and national communities.

⁵ <https://www.timeshighereducation.com/news/kuwait-gets-tough-fake-degrees>

Appendix Seven: The Interview participants

Participant	Role	Institution	Code
Interview 1	Senior Manager	Kuwait Uni.	AAK1
Interview 2	Senior Manager	Kuwait Uni.	AAK2
Interview 3	Senior Manager	PAAET	AAP1
Interview 4	Middle Manager	Aberystwyth Uni.	AAA1
Interview 5	Middle Manager	Cardiff Uni.	AAC1
Interview 6	Middle Manager	Birmingham Uni.	AAB1
Interview 7	Librarian/repository member	Uni. of Manchester	LM1
Interview 8	Librarian/repository member	Birmingham Uni.	LB1
Interview 9	Librarian/repository member	Cardiff Uni.	LC1
Interview 10	Librarian/repository member	Aberystwyth Uni	LA1
Interview 11	Librarian/repository member	Aberystwyth Uni	LA2
Interview 12	Librarian/repository member	Kuwait Uni.	LKU1
Interview 13	Librarian/repository member	Kuwait Uni.	LKU2
Interview 14	Librarian/repository member	PAAET	LP1
Interview 15	Librarian/repository member	PAAET	LP2
Interview 16	Academic lecturer (Economics)	Aberystwyth Uni.	ASA1
Interview 17	Academic lecturer (Business and management)	Aberystwyth Uni.	ASA2
Interview 18	Academic lecturer (Finance)	Uni. of Manchester	ASM1
Interview 19	Academic lecturer (Architectural history)	Uni. of Oxford	ASO1
Interview 20	Academic lecturer (Computer science, Health informatics)	Cardiff Uni.	ASC1
Interview 21	Academic lecturer (Building physics, pollution and health)	UCL	ASUCL1
Interview 22	Academic lecturer (History)	Birmingham Uni.	ASB1
Interview 23	Academic lecturer (History)	Kuwait Uni.	ASK1
Interview 24	Academic lecturer (Business)	Kuwait Uni.	ASK2
Interview 25	Academic lecturer (Information technology)	PAAET	ASP1
Interview 26	Academic lecturer (Information Studies)	PAAET	ASP2
Interview 27	Academic lecturer (Education)	PAAET	ASP3
Interview 28	Academic lecturer (Mathematics)	PAAET	ASP4

Interview 29	Postgraduate research student (Information studies)	Aberystwyth University	PSA1
Interview 30	Postgraduate research student (Business management)	Aberystwyth University	PSA2
Interview 31	Postgraduate research student (Physics)	Aberystwyth University	PSA3
Interview 32	Postgraduate research student (Computer Science)	Aberystwyth University	PSA4
Interview 33	Postgraduate research student (Education)	Aberystwyth University	PSA5
Interview 34	Postgraduate research student (Psychology)	Birmingham University	PSB1
Interview 35	Postgraduate research student (War Studies)	Kings College. University	PSKC1
Interview 36	Postgraduate research student (Applied mathematics)	University of Oxford	PSO1
Interview 37	Postgraduate research student (Political Science student)	UCL	PSCL1
Interview 38	Postgraduate research student (Chemistry)	Kuwait University	PSK1
Interview 39	Postgraduate research student (Accounting)	Kuwait University	PSK2
Interview 40	Postgraduate research student (Languages)	Kuwait University	PSK3
Interview 41	Postgraduate research student (Art)	PAAET	PSP1
Interview 42	Postgraduate research student (Science)	PAAET	PSP2
Interview 43	Postgraduate research student (Engineering)	PAAET	PSP3

Appendix Eight: Arabic version of interview transcript

Arabic version of Data from Interviews	reference
<p>المعايير المتعلقة بسياسة واجراءات الوصول الحر بالنسبة للأطروحات والرسائل الجامعية بالإضافة الى مسائل الملكية الفكرية يجب التعامل معها ودعمها بطريقة صحيحة ومتزنة بحيث تحافظ وتحمي كل من الجامعة والطالب لذلك هي قد تتطلب الكثير من الوقت لدراساتها</p> <p>(P.118)</p> <p>نعم اعتقد انها مفيدة، ومن مميزاتها تعزيز فرص الانتشار العالمي والاستفادة منها، ولما لها من تأثير على الجامعة وتطورها بمجالات البحث. وعلاوة على ذلك، فإنها تسرع أيضا عملية النشر والوصول الى أكبر عدد ممكن من المستفيدين</p> <p>(P.113)</p> <p>اعتقد ان الدعم المقدم من إدارات البحث والنشر في الجامعة وخاصة الدعم المادي هي واحدة من العقبات والمشاكل التي نواجهها، المستودعات الرقمية قد تساعد على تقديم الدعم من خلال فتح مجالات للتعاون وتقديم فرص للدعم المادي للبحث والباحثين</p> <p>(P.113)</p> <p>طريقة الإبداع الإلزامية هي الأنسب وذات فاعلية للجامعة والمؤسسة ولضمان نجاح المشروع، بحيث ستكون إدارة وتنظيم البرنامج أكثر صعوبة لو كان القرار اختياري للطالب لإبداع الرسالة في قاعدة البيانات الخاصة للرسائل الالكترونية</p> <p>(P.120)</p> <p>حسنا، أعتقد أن المسألة تكمن في نظام أو هيكل العمل هنا، والتي عادة ما تتخذ مثل تلك الإجراءات بعض من الوقت لأخذ قرار بشأنها وذلك بسبب القيام بعمل العديد من الاجتماعات والمناقشات مع مختلف القطاعات في الجامعة حول جميع جوانب الموضوع، نعم تلك الإجراءات المتبعة والروتينية تؤثر بشكل كبير بسرعة القرار</p>	<p>AAK1</p>

<p>(P.127)</p> <p>اعتقد ان هناك بعض المسائل يجب ان تؤخذ بعين الاعتبار وهي المتعلقة بالإجراءات التقنية وأخرى بالتنظيم والارشافة في المكتبات وإدارة التقنية. في رأيي هي أبرز النقاط التي يجب مراعاتها، من جانب آخر لا اعتقد ان الجانب المادي سيكون عائق او مشكلة تحول دون تطبيق النظام ولكن يجب أيضا علينا النظر للأمور الأخرى المتعلقة بالتمويل المستمر لمثل تلك التقنيات والبرامج. يجب علينا توفير الدعم المادي المستمر لتغطية تلك المصروفات التي تتعلق بالعاملين والموظفين وغيرها</p> <p>(P.125)</p> <p>على الإطلاق، لا اراها تؤثر، بالتحديد انا أعنى مع التطور الهائل للتقنية والأجهزة حاليا وسهولة التعامل مع الخدمات الالكترونية لا أرى أية صعوبة في هذا الامر قد يؤثر على تطبيقها</p> <p>(P.128)</p> <p>بوجهة نظري ليست لها تأثير كبير ولكن قد تؤدي بعض من تلك القيم الثقافية او العادات إلى تقليل سرعة عملية تطبيق وانتشار الوعي لبرنامج الاطروحات الجامعية المتاحة بالكامل في مجتمعاتنا لحدثة تلك النوعية من البرامج. ولكن، لا أعتقد أن لها تأثير في وقتنا الحالي</p> <p>(P.137)</p> <p>الاتصال المباشر مهم لزيادة الوعي لتلك البرامج. كما يجب أن تضع بعين الاعتبار تأثير الآخرين أيضا وخاصة إذا كانت نصيحة من الاشخاص القريبين لك في العمل ولهم قدر من المعرفة والثقافة بمثل تلك البرامج بالإضافة إلى دور القائمين على المشروع في عملية التواصل لإيصال المعلومات الخاصة لنظام الرسائل الإلكترونية الجامعية (p.131)</p>	
<p>نحن في انتظار اعتماد إدارة الجامعة 7 برامج جديدة في كلية الدراسات العليا، حيث ان الكلية تقدم 84 برنامجا منها 11 برنامج دكتوراه و68 برنامج ماجستير، إضافة إلى 5 برامج دبلوم دراسات عليا، لذلك نحن ندعم فكرة البرنامج وهناك اجتماعات وتحضيرات على مستوى الإدارة</p>	<p>AAK2</p>

لدراسة الموضوع من جميع الجوانب المالية والإدارية المتعلقة بشراء نظام أرشفة الأطروحات وهدفنا الأساسي من تطبيق هذا البرنامج هو ربط المواضيع التطبيقية والعلمية مع برامج خطط التنمية على مستوى الكويت، لا سيما أن هناك مساهمة تقدم سنوياً من قبل إدارة التخطيط عن مدى تحقيق أهداف الدراسات العليا وجدواها لسوق العمل

(P.119)

نعم أعتقد أن لها مميزات لا سيما بالنسبة للمؤسسات الأكاديمية، حيث تعتبر كأداة تعمل كنظام لتطوير ورصد أو مراقبة الجودة للبحث لضمان أعلى مستوى من الجودة التي تلبي المعايير الدولية لبرامج الدراسات العليا وكذلك مخرجات الجامعة وجدواها لسوق العمل

(P.113)

اعتماد سياسة الإيداع الطوعية بشكل عام ليس مدعوماً من قبل نظام وثقافة الجامعة، ومن ثم فإن سياسة الإيداع الإلزامية للرسائل الجامعية الإلكترونية هي أكثر ملاءمة لجامعة الكويت لضمان الحصول على الدعم لعملية تطوير النظام من قبل أطراف مثل الحكومة ومراكز البحث، لأنه عندما تكون السياسة غير الإلزامية وداخل الجامعة، فإن هذه الهيئات على الأرجح لن تقدم الدعم إلا إذا كان إلزامياً. بالإضافة إلى ذلك، خيار سياسة الإيداع الطوعية يستغرق مزيداً من الوقت لنشر الفكرة ورفع مستوى الوعي في جميع أنحاء الجامعة

(P.120)

ومن ثم فإن سياسة الإيداع الإلزامية للرسائل الجامعية الإلكترونية هي أكثر ملاءمة لجامعة الكويت لضمان الحصول على الدعم لعملية تطوير النظام من قبل أطراف مثل الحكومة ومراكز البحث، لأنه عندما تكون السياسة غير الإلزامية وداخل الجامعة، فإن هذه الهيئات على الأرجح لن تقدم الدعم إلا إذا كان إلزامياً

(P.124)

<p>طريقة العمل والهيكل التنظيمي تعد مسألة شائعة في المؤسسات الأكاديمية في الكويت، بحيث تعمل على تقليل سرعة عملية التطوير وتضع العديد من الحواجز في طريق تعزيزها</p> <p>(P.126)</p> <p>يرأى ان المعدات التقنية متوفرة بشكل جيد في الجامعة والإدارة تهتم بتوفيرها ولكن المصاريف المتعلقة بالإجراءات المصاحبة للنظام قد تؤثر على المدى الطويل</p> <p>(P.125)</p> <p>لا اعتقد ان المعدات والبنية التكنولوجية ستكون عائقا أمامنا حيث ان الجامعة توفر كل ما هو مطلوب للعمل على رفع كفاءة تلك المعدات والتأكيد على توفير كافة الامكانيات المتاحة، ولكن تبقى مسألة توفر الطاقم الفني والعاملين الذين يستطيعون التعامل مع تلك التقنيات والاجهزة وتنظيم إجراءاتها</p> <p>(P.127)</p> <p>، ولكن تبقى مسألة توفر الطاقم الفني والعاملين الذين يستطيعون التعامل مع تلك التقنيات والاجهزة وتنظيم إجراءاتها</p> <p>(P.130)</p> <p>باعتقادي ان كل التخصصات او اغلبها سترحب باستخدام هذا البرنامج وستشارك كلها على نفس المستوى</p> <p>(P.138)</p> <p>أعتقد أنه إذا كان هناك نقص في التواصل والتفاعل بين أو داخل الإدارات المختلفة في الجامعة وهذا ممكن ان يؤثر على الوقت والجهد المطلوب لنشر الوعي بمثل تلك المبادرات وتبادل وجهات النظر (P.132)</p>	
<p>يجب ان تنتظر الجامعة الى مثل تلك البرامج بدرجة كبيرة من الاهمية لكونها توفر الكثير من مصادر المعلومات التي قد لا تكون متوفرة في مواقع او اشكال اخرى و من ناحية اخرى توفر مبالغ كبيرة في ظل تنامي الضائقة المالية و المبالغ الخاصة بالأبحاث</p> <p>(P.119)</p>	<p>AAP1</p>

مميزات الوصول المفتوح او الحر بشكل عام سوف تساعد على حفظ التكاليف وبخاصة تكلفة الاشتراكات للمجلات العلمية في قواعد البيانات ومتطلباتها التي نواجهها والتغلب على مشكلة اعداد الدوريات المتاحة والمقدمة للباحثين والمستفيدين في الجامعة

(P.113)

في رأيي، ينبغي النظر في السياسة بطريقة هادفة، مع الأخذ بعين الاعتبار الآثار المترتبة على الطلاب وكذلك الجامعة. أعتقد أن سياسة الإيداع الإلزامية للرسائل الجامعية الإلكترونية توفر المزيد من الفوائد للمؤسسة ولل مسائل المتعلقة بإدارة الاطروحات الإلكترونية

(P.120)

بسبب النقص في التمويل وتقليص الميزانية السنوية من قبل الحكومة وزارة المالية والذي يؤثر أيضا على ميزانية عمادة المكتبات وبالتالي خفض ميزانية المكتبة

(P.124)

في العادة أي عملية هنا تستغرق وقت مضاعف بسبب النظام الإداري وطريقة العمل هنا

(P.127)

في مستويات الإدارة المختلفة هنا في الهيئة، عملية اتخاذ القرار تأخذ مراحل عديدة مما يؤدي صعوبة القيام بالأنشطة والعمليات، وسوف تؤثر بشكل سلبى على إجراءات البرامج

(P.127)

هناك الكثير من التكاليف المترتبة على ذلك، فإن أي نقص بالميزانية يمكن أن يجعل من الصعب تطوير البنية التحتية لتكنولوجيا المعلومات

(P.126)

من وجهة نظري، أعتقد أن لدينا البنية التحتية المطلوبة للتعامل مع الخدمات الإلكترونية

(P.128)

لا بد من وجود دعم فني متواصل وقد يكون هذا الطالب صعب التحقيق بسبب الميزانية المتاحة

<p>(P.130)</p> <p>هناك اعتقاد لدى الباحثين لدينا بأن المصادر المجانية المتاحة لا توفر بيانات ومعلومات غنية مقارنة بالمصادر المدفوع لها (P.138)</p>	
<p>الدعم المادي وتوفير الموظفين هي أبرز العوامل من وجهة نظري، من المهم توفير الطاقم اللازم لضمان نجاح التطبيق (P.130)</p>	<p>R147, academic staff, Information Studies. p. 205).</p>
<p>اعتقد ان العلاقات تلعب دور فعال بين العاملين في الجامعة بالتعاون والتفاعل ما بين مختلف الفئات مثل الإداريين والأكاديميين والباحثين بالإضافة الى العاملين في قطاع المكتبات يلعب دور كبير في تعزيز وتقديم هذا المفهوم. من المهم اشراك جميع الأطراف في عملية تقديم مثل تلك البرامج والأفكار مما يساهم في إنجاح المشروع ولتفادي أي عقبات مستقبلية ممكن ان تحد من الاستفادة من المشروع او تؤدي الى فشله. (P.133)</p>	<p>(ASP1, Information technology)</p>
<p>لا توجد لدينا سياسة او معايير خاصة بالوصول الحر او المفتوح حاليا و لكن تطبق عندنا معايير عامة لتنظيم النشر وآمل أن يكون الاليكتروني و الخدمات عبر الإنترنت لدينا مثل هذه السياسة والإجراءات المعمول بها (P.121)</p> <p>أنا على ثقة من أن الجامعة سوف تحل أي مسألة تتعلق بالمسائل التقنية أو البنية التحتية، إذا عانينا من أي نقص في ذلك (P.129)</p> <p>اعتقد ان المعدات والبنية التحتية هنا جيدة وفي الوقت نفسه لصيانتها وحل المشاكل أنها تكلف الكثير من المال المتعلقة بتشغيلها، ولكن لدينا كل الدعم من إدارة الجامعة. أعتقد إذا توفر لديك الدعم والميزانية اللازمة لذلك فبإمكاننا التغلب على أي مشكلة قد تظهر حيث يعتبر العنصر المادي من اهم العناصر الرئيسية للنجاح في عملك وفي أي مؤسسة أخرى (P.126)</p>	<p>LKU1</p>

<p>لدينا علاقات جيدة جدا مع الاشخاص في مختلف مستويات الإدارة، لدينا بعض الاتصالات معهم ولقد أظهروا اهتمامهم في توفير كل انواع الدعم للخدمات في المكتبة</p> <p>(P.134)</p> <p>بالنسبة لي اعتقد ان المسؤول عن هذا النوع من العمل هي كلية الدراسات العليا، هم المسؤولون عن الرسائل الجامعية وعن اتخاذ قرار تنفيذ برنامج الرسائل الجامعية</p> <p>(P.177)</p> <p>أعتقد أن تخصصات التكنولوجيا والعلوم والهندسة، أعتقد انها الأكثر دعما للفكرة ذلك لطبيعة هذه التخصصات وتطورها بشكل مستمر، فأنهم يرون أن المصادر على الانترنت أسرع وأسهل بالمقارنة مع الطرق الأخرى، كما أنهم يعتقدون أن جميع المصادر والبحوث ستكون متاحة بسهولة على الإنترنت. بعض المتخصصين من المجالات الأخرى، هم، مثل التاريخ هم أقل حماسا (P.117)</p>	
<p>لدينا هنا بعض الإجراءات للتعامل مع الأطروحات والرسائل الجامعية التي نتلقاها من طلاب الدراسات العليا والكلية في الجامعة، وهذه العملية تشمل تلقي النسخ المطبوعة ونسخة من القرص الإلكتروني من الرسالة. ومع ذلك، وفيما يتعلق بالنشر على الانترنت لدينا فقط لائحة عامة حول النشر الإلكتروني على الانترنت وليست محددة للأطروحات الجامعية المفتوحة ولكن يتم اتباعها عند التعامل مع البرامج عبر الانترنت. بالنسبة لي اعتقد ان المسؤول عن هذا النوع من العمل هي كلية الدراسات العليا، هم المسؤولون عن الرسائل الجامعية وعن تنفيذ برنامج الرسائل الجامعية مفتوحة المصدر</p> <p>(P.121)</p> <p>يجب أن يكون هناك مصدر او مرجع لإدارة البرنامج، الجامعة مسؤولة عن ذلك، فإذا حدث شيء يجب على الجامعة حماية ذلك، يجب أن تجعل هناك نوعا من السياسة والإجراءات التي تحمي تلك الأنواع من البحوث مثل تلك التي في مجالات الفن والتلفزيون / الدراما الخ</p> <p>(P.121)</p>	<p>LKU2</p>

<p>نحن كمكتبة بحاجة إلى أنواع مختلفة من الدعم والإدارة . في جامعة الكويت من وجهة نظري تولي اهتماما جيد لاحتياجاتنا من خلال التواصل الفعال بين إدارتنا والإدارة الرئيسية (P.134)</p> <p>سيكون من الأسهل ممارسة هذا النوع من البرامج في البداية من خلال على سبيل المثال المجالات في العلوم حيث لديهم المزيد من الأنشطة البحثية، وأنها ذات طابع بحثي أكثر من المجالات الأخرى (P.117)</p>	
<p>الشروط المتبعة الحالية لا تطلب من الطلاب وضع نسخ الإلكترونية من أطروحاتهم في قاعدة البيانات الخاصة بنا، بل تطلب فقط تقديم ملخص الدراسة، السياسات الحالية المتبعة ليست مناسبة لهذا المشروع وتحتاج الى تغيير (P.121)</p> <p>نعم، اعتقد أن هناك بعض التحديات، مثل العثور على البرنامج المناسب الذي سوف يدير مستودع الرسائل الإلكترونية، بالإضافة الى الموظفين القادرين على التعامل مع البرنامج وتدريب الآخرين على استخدام برنامج الرسائل الإلكترونية (P.128)</p> <p>الموارد التكنولوجية لا اعتقد ستكون حاجز تمنع من تطبيق وتنفيذ النظام الخاص بالأطروحات الجامعية، أعتقد أن لدينا المتطلبات الأساسية لتشغيله، لدينا كل الدعم من مستوى الإدارة العليا (P.129)</p> <p>الأعضاء لاسيما في مستويات الإدارة العليا للأسف في بعض الأحيان لا يبدون اهتمام كافي في بعض المسائل إذا كانت على سبيل المثال، كانت هناك فكرة مقدمة لمشروع ولكن للأسف لم تلقى اهتمام كافي ذلك الوقت لأسباب مختلفة وهذا قد يتغير إذا قدمت الفكرة بطريقة فعالة من شأنها بالتأكيد تغيير وجهات نظرهم. وأعتقد أن تسويق مثل هذه البرامج سيزيد القبول وتبني البرنامج (P.134)</p>	<p>LP1</p>

<p>بعض التخصصات في الفيزياء والكيمياء والعلوم اعتقد انهم سيرحبون بفكرة المصادر المتاحة والمتوفرة عبر الانترنت اكثر لأنهم داعمين بقوة لأي تكنولوجيا جديدة تسرع عملية البحث. نظرا لطبيعة هذه التخصصات التي يكون النشر بالنسبة لها امر مهم</p> <p>(P.118)</p>	
<p>إذا أردنا اعتماد أحدث التقنيات وتقديم خدمات جيدة، فمن الضروري تطوير المعدات والبنية التحتية لمكتباتنا. اعتقد ان الوضع هنا لا يجب ان يكون بهذه الحالة، نقص بالمعدات وغياب الاستراتيجيات المؤسسية التي توجه التطوير في خدمات المكتبات لدينا</p> <p>(P.128)</p> <p>ميزانيتنا الحالية منخفضة نوعا ما ولا تفي بالغرض المطلوب وبالتالي لتحسين الخدمات بشكل عام في مكتباتنا، قدمت عمادة المكتبات والتقنيات طلبا إلى الإدارة الرئيسية والعمادة من أجل زيادة الميزانية السنوية، وحصلنا على وعد لمعالجة هذه المسألة قريبا</p> <p>(P.126)</p>	<p>LP2</p>
<p>على حد علمي، لا توجد ولا تطبق برامج الوصول المفتوح على الإطلاق في الهيئة، لذلك أنا لا أعرف بشأن أي سياسات أو استراتيجيات تتعلق باستخدام مثل تلك البرامج الى هذه اللحظة</p> <p>(P.122)</p> <p>نعم بالتأكيد في الهيئة العامة للتعليم التطبيقي هذا الشيء مهم وجوهري فإذا أرادت الإدارة فقط بعد اقتناعهم بتطبيق هذا النظام ستتفذه والا لن يتم تطبيقه ولكن المشكلة هي كيف تتم مناقشة تطبيقه او وصول المعلومات الأساسية لهم وهل تلك المعلومات معلومات دقيقة وكافية ومن مصدر واضح. انها عملية أساسية لاتخاذ أي قرار على أساس سليم ودقيق نظرا لأنهم صانعي القرار والمشرفين على الميزانية</p>	<p>ASP2 Information Studies</p>

<p>بالهيئة. لذلك إذا كانوا يدركون أهمية هذا البرنامج سيكون له تأثير سريع حتى على الآخرين (P.135)</p>	
<p>أعتقد أن هناك وجهات نظر مختلفة حول طريقة اعتماد برنامج الرسائل الالكترونية ذات الوصول الحر حيث ان هناك مستويات مختلفة بين الموظفين والباحثين. وينبغي أن يؤخذ ذلك في عين الاعتبار عند تطبيقه (P.122)</p>	ASP4 Mathematics
<p>ممارسة هذا النوع من البرامج يتطلب المزيد من التعاون بين مختلف الأشخاص في الجامعة لزيادة الوعي تجاه هذه النماذج من النشر</p> <p>ممارسة هذا النوع من البرامج يتطلب المزيد من التعاون بين مختلف الأشخاص في الجامعة لزيادة الوعي تجاه هذه النماذج من النشر (P.122)</p> <p>يجب مناقشة سياسة الاستخدام بعناية، ويجب توضيحها منذ البداية وذلك من أجل تجنب حدوث أو ظهور أية مشكلة تتعلق بحقوق المؤلف أو بشأن مواد النشر التي قد تحدثها برامج الرسائل الجامعية الإلكترونية المفتوحة (P.116)</p>	ASK1 History.
<p>أحد اهم الاسباب لاستخدام هذه المستودعات هو حفظ . العمل في جهاز الكمبيوتر واسترجاع المعلومات بسهولة بالغة. وهو يساعد على توفير الوقت والجهد في تحديد تلك الموارد بطريقة فعالة. وهي طريقة جيدة أيضا لمقارنة أطروحات الدكتوراه بين الجامعات (P.107)</p>	Academic staff, R7, Information technology, online survey, p.76
<p>من المفيد والجيد معرفة الدراسات الأخرى التي تجري في مجالنا حيث ان ذلك يساعد في تطوير وتقديم البحوث، بل هي أيضا وسيلة جيدة لتوفير الوقت والجهد المبذول عن طريق تجنب القيام بنفس العمل الذي أجري من قبل بالفعل وتمكنك من العثور على مواضيع جديدة في هذا المجال (P.115)</p>	ASK2 Business
<p>أظن أن الوصول المفتوح إلى الرسائل الجامعية الإلكترونية أصبح مهما لطلاب الدكتوراه، فمن الجيد</p>	ASP3 Education

<p>التي قدمت مؤخرا في مراجعة الأطروحات والدراسات المجالات المختلفة، والأهم من ذلك هو القدرة على القراءة حول الموضوع وعرض المناقشات والمساهمات فيه. يجب على طلاب الدراسات العليا مراجعة هذه الدراسات وتلك النتائج المحدثة. وهكذا، فإن الأطروحات الإلكترونية توفر وسيلة سهلة وفعالة للوصول إلى هذه العناصر القيمة (P.115)</p> <p>يجب ألا تتجاهل أن العلاقات الشخصية تشكل جزءا كبيرا من تواصلنا هنا في الكويت، وأنها قد تكون مؤثرة وهامة للبعض (P.137)</p>	
<p>أعتقد أن حقوق المؤلف والملكية الفكرية هي أكبر التحديات التي تواجه تبني النظام وتطويره، لأن فكرة شخص ما سيبيئ استخدام العمل يمكن أن تؤثر على القرار بشأن الرسائل الإلكترونية المفتوحة، ويمكن التغلب على مثل هذه المسائل، برفع الوعي لدى أعضائك (P.116)</p> <p>أعتقد ان العلاقات الاجتماعية والثقافية تلعب دور فعال بين العاملين في الجامعة فالتعاون والتفاعل ما بين مختلف الفئات مثل الإداريين والأكاديميين والباحثين بالإضافة الى العاملين في قطاع المكتبات يلعب دور كبير في تعزيز وتقديم هذا المفهوم. من المهم اشراك جميع الأطراف في عملية تقديم مثل تلك البرامج والأفكار مما يساهم في إنجاح المشروع ولتفادي أي عقبات مستقبلية ممكن ان تحد من الاستفادة من المشروع او تؤدي الى فشله. (P.133)</p> <p>ممكن، كمثال كانت هناك حالة انا شخصا اعرفها حيث كان هناك عضو جديد بالقسم وهذا الشخص كانت لديه أفكار جيدة وقد قام بتقديم واحدة من تلك الأفكار الى الإدارة والمسؤولين ولكن للأسف لم يهتم به أحد او ان يعطى فرصة لتحقيق مثل تلك الأفكار (P.132)</p>	<p>ASP1 Information technology</p>

<p>لا اعلم بالنسبة للعقبات او بالنسبة للسياسة المتبعة في الجامعة، ولكنني اعتقد انه من الأفضل ان يعطى الاختيار للباحث وذلك لتجنب أية اثار على فرص النشر ومساائل حقوق الفكر والنشر</p> <p>(P.123)</p> <p>خدمات تكنولوجيا المعلومات والموارد في المؤسسة تلبي احتياجاتي في رأيي، وأعتقد أيضا أن الجامعة تشجع المكتبة في تحسين خدماتها من أجل مساعدة الطلاب في أبحاثهم ودراساتهم (P.129)</p>	<p>PSP1 Art</p>
<p>اعتقد من الأفضل وضع القرار بيد الطالب ما إذا كان . يريد نشر رسالته ام لا ، حيث ان العمل شيء شخصي وهو صاحب القرار</p> <p>(P.123)</p> <p>أتساءل ما إذا كانت الجامعة تستطيع توفير الدعم الفني للنظام فنحن بالأساس نواجه الكثير من المشاكل المتعلقة بتشغيل الانظمة</p> <p>(P.129)</p> <p>من الطبيعي انها تؤثر ، بعض الزملاء من الطلبة والأساتذة في القسم احترم رأيهم في بعض الامور ، هذه العلاقات قد تساعدك على معرفة بعض المعلومات اللازمة عن (المواضيع).</p> <p>(P.136)</p>	<p>PSK3 Languages</p>
<p>طالب الدكتوراه الذي ينوي أو يخطط لإجراء دراسة أو بحث جديد، هذا الباحث في العادة يبحث عن أطروحة دكتوراه جديدة أو انها قد نشرت مؤخرا في موضوعه وفي كثير من الأحيان هذه الأطروحات تشمل الاقتراحات والتوصيات في نهاية البحث التي تسعى للدراسات المستقبلية. ولذلك، فإنه لأمر جيد لنقطة انطلاق الدراسة الجديدة. أنا أؤيد ذلك تماما</p> <p>(P.116)</p> <p>بالغالب اسأل المشرف الأكاديمي عن أي شيء يخص العمل والدراسة لدي وانا متأكد من انني سأحصل على الرد والخيار المناسب لي (P.131)</p>	<p>PSP2 Science</p>

<p>لا أعتقد أن هناك أية اعتبارات تتعلق بالتطبيق، أعتقد أن جميع الطلاب في مختلف التخصصات تريد أن ترى وتعاین أطروحات الطلاب الآخرين، حتى في حقول التاريخ أو العلوم أعتقد أنهم جميعا يشتركون في نفس الرأي</p> <p>(P.116)</p> <p>من وجهة نظري، نعم، بعض التحديات والأسئلة، مثل كيفية تشغيل الجامعة لبرنامج الأطروحات الإلكترونية المتاحة، وهل لديهم الموظفين القادرين على العمل وإدارة البرنامج وما هي أنواع البرامج التدريبية التي سيتم تقديمها للطلاب فيما يتعلق ببرنامج الأطروحات الإلكترونية</p> <p>(P.129)</p>	<p>PSP3 Engineering</p>
<p>ربما، في بعض الظروف هناك همم، بعض المخاوف ولكن يستطيع الطالب أن يطلب من الجامعة تقييد الوصول للعمل، ولكن بشكل عام، أعتقد أن معظم الباحثين يريدون لنتائجهم أن تنتشر بشكل أكبر وهذا البرنامج يساعد أيضا على انتشارهم في الاوساط العلمية</p> <p>(P.123)</p> <p>نعم أعتقد انهم قادرين على توفير المتطلبات اللازمة لتطبيق البرنامج في الجامعة</p> <p>(P.129)</p> <p>نعم، هناك تأثير بدرجات معينة، لا تنسى يجب أن تنتظر إلى وجهات النظر والآراء الأخرى وخاصة من المشرفين الأكاديميين، وأعتقد أن هذا أمر مهم لاتخاذ أي قرار يرتبط بدراستك</p> <p>(P.136)</p>	<p>PSK2 Accounting</p>
<p>في الواقع، أعتقد أن الأنظمة المطلوبة والبنية التحتية التكنولوجية متوفرة في الجامعة بما انهم بالفعل يمتلكون ويقدمون بعض من تلك الخدمات الالكترونية</p> <p>(P.129)</p> <p>بالنسبة للطلبة والزملاء ليس بالتأثير الكبير على قرار الاستخدام ولكن بالنسبة لمشرفي الأكاديمي أعتقد نعم له تأثير أكبر انا أثق بمعرفته وبقدرته العلمية في المجال. وكثير من الأحيان اتبع رايه بعد اقتناعي به وبصحته بعد المناقشة</p> <p>(P.136)</p>	<p>PSK1 Chemistry</p>

Appendix Nine: Responding email from an academic lecturer about checking the translation.

08/07/2018 Findings chapter (please check) - alzanki79@gmail.com - Gmail

Google

Gmail

COMPOSE

Inbox

Starred

Important

Sent Mail

Drafts

Categories

[Gmail]Trash

Deleted Items

khaled +

No Hangouts contacts
[Find someone](#)

Ahmed Shehata
done

Ahmed Shehata <amkhafaga@gmail.com>
to me

Arabic > English [Translate message](#)

Hi Khaled,

I have checked the English translation of the interviews and think all of them are accurate.

Best wishes

Ahmed

2018-01-27 23:00 GMT+02:00 Ahmed Shehata <amkhafaga@gmail.com>:
done

2018-01-20 17:49 GMT+02:00 khaled alzanki <alzanki79@gmail.com>:
تلك عنة عطشان اذا تقدر يا الغالي تراجع عليه و خاصة الترجمة من العربي الى الانجليزي للمقابلات و جيبني ابو محمد لو تساعدني برايك و تعديلك على التنظيم اكون شاكر لك يا الغالي
نامحني على الازعاج بس والله محتاجك ضروري و بشكل سريع نتأكد لي اهم شي على الترجمة و تساعدني فيها

Ahmed Maher Khafaga
Dept. of library and information science
Faculty of arts, Minia University, Egypt
E-mail:amkhafaga@gmail.com
ahmed.shehata17@mu.edu.eg

<https://mail.google.com/mail/u/0/#inbox/1611442b37bu1af>

1/1

جامعة الكويت
Kuwait University
Date: 12/01/2016
SCANNED
AVP-US/ 1050
التاريخ: 2016/01/23
المرجع: AVP-US/ 1050

مكتب نائب مدير الجامعة للتخطيط
The Office of The Vice President for Planning
Date: 12/01/2016
SCANNED
AVP-US/ 1050
التاريخ: 2016/01/23
المرجع: AVP-US/ 1050

قسم المناهج وطرق التدريس
المقرر:
الاسم:
التاريخ: 11/01/1438
رقم: 184
تاريخ: 2016/10/26

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

يقوم طالب الدراسات العليا / خالد علي الزكي بإجراء أنشطة بحثية لإطروحة الدكتوراه، وعنوان الأطروحة " تحديد العوامل المؤثرة في تطبيق المستودعات الرقمية المفتوحة المصدر للرسائل الجامعية الالكترونية في المؤسسات الأكاديمية". علما أن هذه الدراسة هي جزء من متطلبات برنامج الدكتوراه بجامعة Aberystwyth في المملكة المتحدة.

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الرابط الإلكتروني للاستبيان باللغة العربية :
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تحية طيبة وبعد

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☐ الرجاء اعداد الرد للتوقيع
☐ إحاطتكم علما
☐ العميد المساعد للشؤون

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1276
وارد رقم :
التاريخ : 1 / 10 / 2016



جامعة الكويت

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ادارة المكتبات 2016 - 24/10/2016

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رد على صادر 1050

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- ☐ الرجاء الإفادة
- ☐ الرجاء إعداد الرد لتتوقيع عليه
- ☐ لتلحظ بملاحظاتكم
- ☐ تحديد موعد مقابلة

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- ☐ م. أسامة دردير
- ☐ م. علياء الفارسي
- ☒ م. نجوان الياسين
- ☐ م. امل العياضي
- ☐ م. لميس الخرافي
- ☐ م. هشام امين
- ☐ م. امل السيد
- ☐ م. فاطمة صفر
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التاريخ: ٢٠١٦/١٠/٢٤
المرجع: ٢٠١٦

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من : تهاني محمد كلندر
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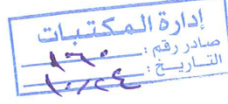
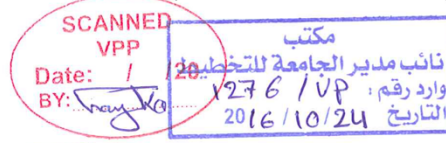
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الموضوع: تسهيل مهمة طالب دراسات عليا

بالإشارة الى الموضوع أعلاه وإلى خطابكم رقم (١٠٥٠) الصادر بتاريخ ٢٠١٦/١٠/٢٣ يرجى العلم بأن هذا الاستبيان موجه الى أعضاء هيئة التدريس بالجامعة وإدارة المكتبات غير مخولة بمخاطبتهم لاستكمال الاستبيان ، يرجى مخاطبة الجهة المسؤولة. أما اذا كان الاستبيان يتطلب الاجابة عليه من قبل موظفي إدارة المكتبات فنحن على استعداد لتسهيل مهمة الطالب.

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السيدة الفاضلة / تهاني كلندر
القائم بأعمال مدير إدارة المكتبات

تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

يقوم طالب الدراسات العليا / خالد علي الزنكي بإجراء أنشطة بحثية لإطروحة الدكتوراه، وعنوان الأطروحة " تحديد العوامل المؤثرة في تطبيق المستودعات الرقمية المفتوحة المصدر للرسائل الجامعية الإلكترونية في المؤسسات الأكاديمية". علما أن هذه الدراسة هي جزء من متطلبات برنامج الدكتوراه بجامعة Aberystwyth في المملكة المتحدة.

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المحترمة
الدكتورة الفاضلة / فريدة العوضي
عميدة كلية الدراسات العليا

تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

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المحترم

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عميد كلية الحقوق

تحية طيبة وبعد،

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يقوم طالب الدراسات العليا / خالد علي الزكي بإجراء أنشطة بحثية لإطروحة الدكتوراه، وعنوان الأطروحة " تحديد العوامل المؤثرة في تطبيق المستودعات الرقمية المفتوحة المصدر للرسائل الجامعية الالكترونية في المؤسسات الأكاديمية". علما أن هذه الدراسة هي جزء من متطلبات برنامج الدكتوراه بجامعة Aberystwyth في المملكة المتحدة .

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المحترم

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تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

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الرابط الإلكتروني للاستبيان باللغة الانجليزية :

<https://goo.gl/forms/I9g1jNEU5BQg7roj1>

الرابط الإلكتروني للاستبيان باللغة العربية :

<https://goo.gl/forms/nYNFSSYX8bzDtpW02>

وعلى ذلك أمل التكرم بتسهيل مهمته العلمية بتوزيع الاستبيانات الخاصة به على جميع أعضاء هيئة التدريس بجامعة الكويت. مقدرين لكم حسن تعاونكم.

لأي ملاحظات أو استفسارات عبر البريد الإلكتروني التالي kha1@aber.ac.uk .

وتفضلوا بقبول وافر التقدير والاحترام ،،،

الدكتور / عادل عبدالله الحسينان


نائب مدير الجامعة للتخطيط - جامعة الكويت



التاريخ: 2016/10/23
المرجع: AVP-US/ 1059

المحترم

الأستاذ الدكتور / عبدالهادي عيسى بوعليان
عميد كلية العلوم

تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

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<https://goo.gl/forms/19g1jNEU5BQg7roj1>

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الدكتور/ عادل عبدالله الحسينان


نائب مدير الجامعة للتخطيط - جامعة الكويت



التاريخ: 2016/ 10/ 23
المرجع: AVP-US/ 1050

المحترم
الأستاذ الدكتور/ علي جاسم الشهاب
عميد كلية التربية
تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

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الدكتور/ عادل عبدالله الحسينان


نائب مدير الجامعة للتخطيط - جامعة الكويت



التاريخ: 2016/10/23
المرجع: AVP-US/ 1050

المحترم

الأستاذ الدكتور/عبد اللطيف محمد الخلفي
عميد كلية الهندسة والبتترول

تحية طيبة وبعد،

الموضوع: طلب تسهيل مهمة طالب دراسات عليا

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التاريخ: 2016/10/23
المرجع: AVP-US/ 1050

السيدة الفاضلة / تهاني كلندر
القائم بأعمال مدير إدارة المكتبات
المحترمة

تحية طيبة وبعد،

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الدكتور / عادل عبدالله الحسينان

نائب مدير الجامعة للتخطيط - جامعة الكويت

Dr. Ahmad Alkhalifah
Dean of Libraries at PAAET
د. أحمد خالد الخليفة
عميد المكتبات والوثائق

Consent Letter

My name is Khaled Alzanki. I am a PhD student at Aberystwyth University, Department of Information Studies. I am conducting research on identifying influential factors that affect the adoption of e-theses in academic institution libraries and whether that has an impact on the research activities, and I would like to invite you to contribute to this study.

The purpose of this study is to investigate the perception of open-access e-theses and dissertations in academic institutions by exploring how librarians, academics and postgraduate administrators and students perceive and adopt open-access e-theses. The goal will be to determine the interactions that occur to implement an effective framework for open-access e-theses in academic institutions.

About the Study





The research process will feature two parts. The first part is an online questionnaire, which should take about 10 to 15 minutes of your time. In addition, the survey involves questions about some personal information (age, field, gender and location), which are parts of the research purpose. Each participant will also have a chance to contribute in a follow-up interview.

The interview will be the second phase of the research. Participants will be selected based on their roles and positions (purposive sampling) as well as based on who agreed to complete an interview according to the survey (first phase). Interviews will take place at the academic institutions to which the interviewees belong or at other agreed-upon places. A telephone interview will be another option if the participant prefers this approach. I estimate it will last 45 minutes to one hour. Audio recording will be used with permission from the participant to enable accuracy in data collection. Only my supervisors and I will have access to the recordings and transcribed files. As a participant in this research study, you will have an opportunity to


Appendix Eleven: The ethical approval letter

 Reply all |   Delete Junk |  ...

Your Research Ethics Application | Eich cais Ymchwil Moesol

A  apache <apache@aber.ac.uk> on behalf of ethics@aber.ac.uk   Reply all | 

Thu 7/21/2016 12:19 AM

To:  Khaled Alzanki [kha1] 

Inbox

Application reference number: 5070

Your assessment has been approved at a departmental level by Professor David Ellis

Whilst an application to a Research Ethics Panel is not required, should there be any significant changes to your proposed research, you should contact your department to ensure that the ethical status of your project remains valid.

If you have any queries, please contact ethics@aber.ac.uk or 01970 621694
Good luck with your project!

Rhif cyfeirnod y cais: 5070

Mae eich asesiad wedi cael ei gymeradwyo ar lefel adrannol gan Professor David Ellis

Er nad oes angen cais i Banel Moeseg Ymchwil, petai unrhyw newidiadau sylweddol i'ch ymchwil arfaethedig, dylech gysylltu â'ch adran i sicrhau bod statws moesegol eich prosiect yn parhau i fod yn ddilys.

Os oes gennych unrhyw ymholiadau, cysylltwch â ethics@aber.ac.uk neu 01970 621694
Pob lwc gyda'ch prosiect!